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ABSTRACT

The state agency represents the interface between the statewide education system and the governmental and external bodies that would influence it. About 55 state agency staff members from all over the east coast attended an inservice workshop that attempted to measure some of the new dimensions of postsecondary education and to equip participants with effective means to confront related daily problems. There were six content modules which included formal presentations, illustrations, demonstrations, and discussion: "Information Related Problems in State Planning" by T. Edward Hollander; "Problems and Issues Related to the Data Game" by Robert Huff; "External Interest Group Impingements" by Richard Millard; "Problems Clinic--Where Do We Turn for Help?" (a panel of eight representatives from national resource organizations--American College Testing Programs, Southern Regional Education Board, College Entrance Examination Board, American Association for Higher Education, ERIC Higher Education Clearinghouse, and U.S. Office of Education); "State Agency Relationships" by Patrick McCarthy and John Porter; "Dealing with Dwindling Resources" by S.V. Mortorana; "Problems and Issues Related to Legislative Process--The Federal Dimension" by Robert C. Andringa; "New Assumptions for State-Level Leadership in the Future" by Robert B. Mautz. All workshop presentations are included along with a post-workshop analysis by DeForest Trautman that summarizes activities and outcomes. (JT)

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ED112798

TOOLS, TECHNIQUES, AND STRATEGIES FOR STAFF RESPONSES TO PROBLEMS OF STATE LEVEL LEADERSHIP

SEMINAR PROCEEDINGS

Edited by

LOUIS W. BENDER
and
JOYCE A. CLAMPITT

Sponsored by
EDUCATION COMMISSION OF THE STATES
STATE HIGHER EDUCATION EXECUTIVE OFFICERS
INSERVICE EDUCATION PROGRAM

in cooperation with

FLORIDA STATE UNIVERSITY STATE & REGIONAL
HIGHER EDUCATION CENTER

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Education Commission of the States
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PREFACE

The State Higher Education Executive Officers Association and the Education Commission of the States, through a grant from the W. K. Kellogg Foundation, have sought to strengthen state-level leadership of postsecondary education in responding to the growing complexities and challenges of contemporary times. Four university centers were requested to develop inservice education programs as identified by a national planning board to carry out the objectives of the project. The State and Regional Higher Education Center of The Florida State University was designated to organize a three-day workshop/seminar focused upon problems and issues which confront the state officials directly or indirectly concerned with higher and postsecondary education.

The FSU Center first sought to outline specific workshop/seminar objectives by interacting with officers and staff from state budget officers, state planning officers, and members of the State Higher Education Executive Officers Association. Six specific content modules were developed on the basis of problems or issues identified by this process. Each module was conceptualized and then arranged to include formal presentations, illustrations, and demonstrations by nationally recognized authorities and experts but with more than 50% of the time dedicated to "nuts and bolts" discussion and problems clinic approaches. Individual participants were able to confer individually with the resource staff as well as with each other on successful or unsuccessful practices already experienced.

The first module was developed around the problems related to information, while the second module examined the impact or impingement from consumer protection or various interest groups upon state-level leadership. The third problem area used as the basis of a module dealt with legislative relations and the gamut of policymaking. The fourth module dealt with problems related to sharing dwindling resources among institutions and throughout statewide systems of postsecondary education. The fifth module was designed to address problems of state agency relationships. The sixth and final module dealt with the nature of the political process and the requirements of understanding the nature of power and influence when operating at the state level.

In addition to the modules, the concept of a clearinghouse or "State Fair" was utilized to assist participants in knowing where to turn for help from various organizations or agencies which often stand ready to provide a helping hand when state officials know of their existence and take

advantage of their services. This component of the workshop/seminar is reported in these proceedings through the inclusion of "thumb-nail sketches" of the agencies which were represented. Participants became aware of the fact many additional national, regional, and state organizations and agencies can be utilized as resources for assistance on a variety of issues and problems.

The FSU State and Regional Higher Education Center has also attempted to demonstrate its accountability in carrying out its assigned part of the FCS/SHEEO Inservice Education program. A deliberate effort has been made to conduct a post-workshop/seminar analysis to determine whether the original objectives were, in fact, achieved. The last section of these Proceedings reports an analysis and evaluation by Dr. DeForest L. Trautman who attended the Philadelphia meeting, interacted with participants and resource people, made notes of corridor conversations, and generally served as an observer/evaluator of the workshop/seminar. Upon return to Tallahassee, Dr. Trautman then listened to the tapes of formal presentations and informal discussions. As soon as transcripts of the tapes were available, Dr. Trautman proceeded to complete his analysis which the reader is invited to examine before, as well as after, reading the formal presentations reported in this document.

While photographs of most of the staff responsible for designing and conducting the seminar workshop are included, we wish to acknowledge with deep appreciation the many hours of time and effort each one made in order to develop the workshop in a very short time period. Mrs. Phyllis Steinmetz, Secretary for the Center, and Dr. Joyce Clampitt, Research Associate, deserve special recognition for working evenings and on weekends to guarantee that the workshop and these proceedings would be on schedule.

We are also indebted to Jerome Ziegler, Commissioner for Higher Education in Pennsylvania, for his cooperation and assistance throughout the planning phases of the workshop. In addition, we are grateful to Allen T. Bonnell, President of Philadelphia Community College and to George S. Beers, Director of Audio Visual Learning Resource Center, for providing audio visual and other support equipment for use during the workshop. Finally, we wish to express our appreciation to Walker Agnew, Commissioner of Region III, U.S.O.E. Regional Office in Philadelphia, for his interest and support of the workshop.

Louis W. Bender, Director
State and Regional Higher
Education Center

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EDUCATION COMMISSION OF THE STATES/
STATE HIGHER EDUCATION EXECUTIVE OFFICERS
Inservice Education Program
Bellevue-Stratford Hotel
Philadelphia, Pennsylvania

May 20-23, 1975

Theme:

TOOLS, TECHNIQUES, AND STRATEGIES FOR STAFF RESPONSE TO PROBLEMS OF STATE-LEVEL LEADERSHIP

Tuesday, May 20:

3:00 - 9:00 p.m. Elevator Foyer (First Floor)	Registration
8:30 - 10:00 p.m. Academy Room (First Floor)	Reception/Hospitality Hour

Wednesday, May 21:

8:30 a.m. Poor Richard Room (First Floor)	Introduction by Lou Bender, Director FSU State & Regional Higher Education Welcome: Jerome Ziegler, Commissioner for Higher Education, Pennsylvania State Department of Education
8:50 a.m. Poor Richard Room (First Floor)	First Module: Information Related Problems in State Planning Presiding: Robert G. McMurray Assistant Executive Secretary Iowa State Board of Regents Presenter: T. Edward Hollander Deputy Commissioner for Higher Education State Department of New York
10:00 a.m. Outside Poor Richard Room (First Floor)	Coffee Break
10:15 a.m. Poor Richard Room (First Floor	Second Module: Problems and Issues Related to the Data Game

Presiding: Frank D. Brown, Assistant to the Director
Alabama Commission on Higher Education

Presenter: Robert Huff, Professor
Virginia Polytechnic Institute and formerly Associate Director for Applications and Implementation (NCHEMS)

11:30 a.m. — Small Group Sessions (Assignments to be announced)

Assembly Room (First Floor) — Group I - D. L. Trautman

Blue Room (First Floor) — Group II - Ted R. Morford

Gold Room (First Floor) — Group III - Daniel Holsenbeck

12:00 p.m. — Luncheon Meeting

Crystal Room (First Floor) — Third Module: External Interest Group Impingements

Presiding: Jerome Ziegler

Presenter: Richard Millard, Director
Higher Education Services
Education Commission of the States

2:15 p.m. — Fourth Module: Problems Clinic - Where Do We Turn for Help?

Poor Richard Room (First Floor)

Presiding: James L. Wattenbarger
Director, Institute of Higher Education
University of Florida

Moderator: Warren G. Hill, Director
Inservice Education Program
Education Commission of the States

Panel of Representatives from National Resources Organizations:

Lee Noel, Regional Vice President
American College Testing Program
Iowa City, Iowa

E. F. "Tex" Schietinger, Director of Research, Southern Regional Education Board, Atlanta, Georgia

Stephen H. Ivens, Assistant Director
Southern Regional Office
College Entrance Examination Board
Atlanta, Georgia

Jane Lichtman, Director, NEXUS
American Association for Higher Education
Washington, D. C.

Jonathan D. Fife, Associate Director
ERIC Higher Education Commission
Washington, D. C.

Albert Crambert, Assistant Commissioner
U. S. Office of Education, Region III
Philadelphia, Pennsylvania

3:15 p.m. — "State Fair" - Consult and Confer

Assembly Room	Educational Testing Service
Assembly Room	American College Testing Program
Blue Room	Southern Regional Education Board
Blue Room	College Entrance Examination Board
Blue Room	American Association for Higher Education
Gold Room	ERIC Higher Education Commission
Gold Room	U. S. Office of Education, Region III

5:30 p.m. — Adjournment

Thursday, May 22:

9:00 a.m.
North Cameo Room
(Eighteenth Floor)

Fifth Module: State Agency Relationships

Presiding: Ben L. Morton, Chancellor
West Virginia Board of Regents

Panel Presenters:

Patrick McCarthy, Chancellor, State
Board of Higher Education, Massachusetts

John Porter, Executive Director
Alabama Commission on Higher Education

10:15 a.m.
Outside North Cameo
Room
(Eighteenth Floor)

Coffee Break

10:30 a.m. Gold Room (First Floor	Small Groups Sessions Group I
Blue Room (First Floor)	Group II
Pink Room (First Floor)	Group III
12:00 p.m.	Lunch (free time)
1:30 p.m. Crystal Room (First Floor)	Sixth Module: Dealing With Dwindling Resources Presiding: James P. Michael, Assistant Director, South Carolina Commission on Higher Education Presenter: S. V. Martorana, Professor Center for the Study of Higher Education Pennsylvania State University
3:00 p.m. Outside Crystal Room (First Floor)	Coffee Break
3:15 p.m. Studio #1 (Second Floor)	Small Group Sessions Group I
Studio #2 (Second Floor)	Group II
Pink Room (First Floor)	Group III
4:30 p.m. Crystal Room (First Floor)	Feedback from small groups and summary
5:00 p.m.	Adjournment
7:00 - 8:00 p.m. Viennese Room (Lobby Floor)	Cash Bar

Friday, May 23:

9:30 a.m. North Cameo Room (Eighteenth Floor)	Seventh Module: Problems and Issues Related to Legislative Process Presiding: William P. Bittenbender Chairman, New Hampshire Board of Education "The State Dimension" Panel Presenters: Senator Jeanette F. Reibman Chairperson, Education Committee Pennsylvania Senator Hunter Andrews Chairman, Education Committee Virginia
10:15 a.m. Outside North Cameo Room (Eighteenth Floor)	Coffee Break
10:30 a.m. North Cameo Room (Eighteenth Floor)	Eighth Module: Problems and Issues Related to Legislative Process Presiding: Harold Wisor, Associate Commissioner for Higher Education Pennsylvania "The Federal Dimension" Presenter: Robert C. Andringa, Minority Staff Director for Education & Labor Committee, U. S. House of Representatives
12:00 p.m. Viennese Room (Lobby Floor)	Luncheon Meeting Ninth Module: New Assumptions for State Level Leadership in the Future Presiding: Prince B. Woodard, President Mary Washington College Virginia Presenter: Robert B. Mautz, Chancellor State University System of Florida
2:00 p. m.	Adjournment

FIRST MODULE

"INFORMATION RELATED PROBLEMS IN STATE PLANNING"

by

T. Edward Hollander
Deputy Commissioner
for Higher Education
State Department of New York

INFORMATION RELATED PROBLEMS IN STATE PLANNING

I remember the first day on the job at the New York State Education Department. I asked about our management information systems and was told that we had just finished a compilation of our higher education facilities inventory. A staff member came into my office, all excited, and brought these reams and reams of computer runs and laid them on my desk. He said, "Do you know we have 103 million net assignable square feet of space in New York State?"

I said, "Really? That's great! How do I use that information?" He replied, "Well, we can tell you about space on campuses, by college, by utilization rates, by kind of classroom, and by type of laboratory." I replied, "That's very good. How do we use the information? Why did we collect it?"

He said, "Well, we're required to collect the information under the Higher Educational Facilities Act." I asked, "How much did the project cost the taxpayers?"

He said, "We spent a million dollars collecting the file for New York."

To this day, I know of no significant use to which that material has been put. Yes, we've got detailed information on facilities by institution. We've got utilization rates by institution; we know the age distribution of all of our facilities. Yet, the New York State Dormitory Authority which bonds new construction has never asked for it. The State University which spends enormous amounts for new construction has never asked for it. The City University which has a $2 billion construction program has never asked for it. I have never asked for it. Our private institutions have never asked for it, and I must say that I do not believe the data may have ever been used for any kind of policy decision in the state.

I don't know if you have similar situations in your state, but here's a good example of somebody deciding, "Wouldn't it be nice if we had these kinds of data available?" And when you press people with respect to how it would be used, it's pretty hard to pin them down. Yes, we do make all kinds of interesting comparisons and when an institution

seeks authority for new construction we review their present facilities. But decisions on new construction are made on the basis of a different set of data.

Let me discuss a second case. At about the same time, I was taken to a large room and in that room were row upon row of file cabinets. Each cabinet was filled with something called HEGIS forms by institution. In addition to the "HEGIS" forms they had what we call "HEDS" forms; our complementary Higher Education Data System. They've got their HEGIS forms and we're not going to let the federal government have HEGIS forms without having our own more precise HEDS forms. We give money to private institutions and they have to be made accountable; so they must file additional forms with us. We receive audited financial statements from each of the private colleges in the state. And I must confess I have not found anyone on our staff who ever utilized any of the data in that room. They didn't know what to do because the data were collected in anticipation of all kinds of data needs, yet none of the anticipated needs ever arose.

I've seen the data problem from another point of view. When I was in charge of the budget at City University, a budget officer not directly responsible for our budget claimed that we did not have enough data supporting our budget request. He said, "you have a $500 million budget request with a 30-page document, which simply is not sufficient to justify a $500 million budget!" I asked him what he wanted. He wanted supporting information. The budget finally approved at City University is on a line-item basis. City University is the third largest university in the world, employs a 10,000 member faculty. I called a staff member and ordered, "Get this fellow our line-item budget for last year and give him all our budget worksheets for this year." Staff wheeled in a large cart with seven or eight cartons and we loaded them in the budget officer's car and he went back to Albany. We never saw him again. Our budget that year, as in every other year, was negotiated between the mayor and the governor in relation to the smaller 30-page document.

The point I'm making is, obviously, that one of the dangers we in the data-collecting business face is the danger of collecting data without knowing "why." If I have a single idea to convey, it is this--in a complex system, unless you know in advance what it is you are measuring and for what purposes, you really ought not to collect the data. We try to follow several principles in New York in order to minimize data collection. Let me share them with you.

First, before we collect any data, we test whether or not that data is going to help make a decision or influence a decision. If, for example, someone proposes to collect data about minority group enrollments in New York institutions, we'll assume a variety of outcomes and try to determine how they will influence the decision. If the data collected will not influence the outcome, we do not collect the data. It is not enough to request data; the person making the request must justify the need. We regard data collection from institutions as a terrribly costly process for us and a terribly costly process for them.

Principle two, we feed back or try to feed back all data to the institutions which furnish them. That is, if we collect data from institutions, we want them to know how we use it and we want them to have it available for their use. And you'd be surprised how that limits the kind of data you collect because you've got to do something with the data when you get it. You can't just leave it in the file somewhere. You've to to organize it, collate it, and at least share it with those who participated in the collection of it.

The third principle is to take into account the impact on the institution by estimating data collection costs. Just to give you an example of what that element could involve, in the collection of data on enrollments (which I hope we're going to change), we collect 800,000 separate data elements. We collect the data by institution, by sex, by major discipline and by levels, and by status of student (part-time or full-time). Eight hundred thousand data elements! Six months after we collected the data, along came the U. S. Office of Civil Rights and requested similar data. Their request was for 260 separate disciplines, by ten different racial groups, (including some who didn't even live in New York). That would have meant expanding our data requirements from 800,000 data elements to ten million. It meant starting all over again. We asked the OCR how they would use this data. When we were convinced they had no idea, we refused to comply. They wrote to the colleges directly. I don't think they got very much response. I asked them, "What are you going to do with that information? Why do you want to know how many black women are majoring in mathematics at St. Lawrence University in 1974?" I got back rather vague answers, but nobody in the Office of Civil Rights could tell me what policy decision would be considered. What they had in mind, I suspect, was a fishing expedition for enforcement of an affirmative action program. But there are better ways of enforcing affirmative action programs than asking every institution in the state to do a survey of every student for every conceivable characteristic and somehow classify all the material and feed it all into Washington. I just couldn't believe that anyone in

Washington who demanded that kind of data in that detail could do anything very useful with it. We surely could not.

We collect data in relationship to four different kinds of activities. Let me just define those and then discuss them in some detail. First, we try to measure progress toward goals. That's our most important data collection activity. I'll spend a little time on how we go about doing that. Second, we collect data for purposes of accountability, that is the accountability for funds received from the state. Third, we collect data for decision making. And fourth, we collect data for purposes of planning.

The four box headings across the top (reference to visual aid) are the four Regents goals for postsecondary education in the state defined in our statewide plan. See Appendix A. It's Regents policy to provide open access, which means every high school graduate, regardless of economic circumstances, has the right to postsecondary education. The second goal is to maintain a comprehensive system, including all types of institutions to match all types of student needs. Third, we provide special educational opportunities for persons from groups excluded previously from higher education. Our fourth goal is a commitment to excellence and quality. Each of those broad goals is implemented through a series of programs; much of our data collection on a continuous basis is to measure, by institution and by sector, our progress toward these goals.

Let me just take the example of open access. The programs for open access are (1) subsidized tuition at the City University (where it's free), (2) low tuition and guaranteed access at the State University community colleges, (3) a very generous Tuition Assistance Program for students at private as well as public colleges, (4) open admission policies throughout the state, and (5) guaranteed transfer places at public and some private institutions for all two-year college graduates. An important principle in our state is that we define our goals in ways that permit us to measure progress toward them; otherwise, the goal is meaningless. Now with respect to open access, we collect detailed information on the "college-going" rate right down to every high school in the state. That is, we determine what percent of every high school graduating class is going on to college. We can, if we want, determine which college they're going on to. We aggregate the data on a county level. In other words, we determine by county and by region where high school graduates go. If they go on to postsecondary institutions, the information also helps us project our enrollments over the next decade. We also look at the ratio of students attending college from upper-income families in relation to lower income families. These data provide a measure of

access by income distribution. We believe a ratio of 1.5 to 1 [of students from families with income above the median to families with income below the median] is a favorable measure of opportunity for low income families to send students to college. The data are collected every two years and published every two years. Everyone in the state can take a look at how well we're doing in relationship to whatever other standard they want to use.

Comprehensiveness of the system is our second goal. We maintain a record (I'm sure most states do the same) of the enrollment distribution of students in the state by institution. We also watch the trend over a five-year period. We know what proportion of the students are in the private sector, by institution, and what proportion attend institutions in the public sector and which public institutions. We also maintain a detailed institutional profile on every institution in the state; the profile contains about fifty data elements over a five-year period for that institution: enrollment trends; debt service per student; endowment per student; level of deficit (very few have levels of surplus anymore) and how those measures change from year to year. And each year we prepare a list of those institutions which we believe are in serious financial difficulty. That list is circulated to three of our offices which deal with those institutions. The institutions are monitored by the Department. We maintain projected enrollments for every institution in the state; that is, we have an enrollment model in New York for the 1990s that provides detailed data by institution. If the budget office wants to know what's the outlook for South County Community College in 1995, we can tell them what we think its enrollment will be under different assumptions. Usually the budget office seeks the answer under the most pessimistic assumption we have because they're interested in restricting its growth. But we also get inquiries from institutions seeking to increase their capacity. We update the projections on an annual basis, so that we can take into account changes in college-going rate by county, by region, and changes in institutional attractiveness by sector and by institution any time we see a shift in trends. Special educational opportunities are made available to special populations who require special servies. We measure participation of women and minorities now on a regular basis, both in the student body and among the faculty of all colleges and universities in the state. When we first approached the colleges in 1974 for this information, they balked. They said we had no business collecting it. The information was sensitive. We were asked what we were going to do with the information. We told them we're going to measure whether we're providing the same kinds of opportunities for black and Puerto Rican students as we provide for white students and here's how we're going to

measure it, and here's how we're going to report it, not by institution but by sector, and such information will be made available to you. We're going to do the same thing for women and we're going to do the same thing with information on faculty. When we told them how we were going to use the information and actually gave them the display tables that we were going to use in our progress report, we had no difficulty collecting the data. Every institution cooperated.

This was the first time we ever got letters from institutions thanking us for being so explicit with respect to what we were going to use the data for. In our '74 Progress Report, we were able to report that our minority enrollments in New York State, (freshmen class, fall '74) exceeded the proportion of minority students in the college age group. And these data helped an awful lot in maintaining support for our special opportunity programs, where we invest about 50 or 60 million dollars every year. The legislature and the black caucus, which was particularly concerned about the effectiveness of the program, were very much satisfied with that kind of demonstration of the effectiveness of the large outlay of dollars. With respect to women, we can tell you the percentage of women in every class in the state at every institution. That's an important issue at the moment. We know men constitute 52% of our freshmen class--down from 56%, and we're making progress toward a goal of 50-50 ratio of men to women in the freshmen class.

The measurement of excellence and quality is another most difficult area. We have in process three important evaluations: doctoral programs by discipline on a statewide basis; master's programs; and we're also working to reform our teacher training programs. Here again, it is very hard to measure progress. We carefully measure and monitor for other reasons the instate college-going rate, that is the proportion of New York high school graduates going to New York colleges. And during the past five years that rate has been stable despite an overall increase in the college-going rate. Our college-going rate has gone down 1% a year of the high school graduating class and all of that decline has been experience by colleges in other states because our instate college-going rate has stayed at around 51 to 52% for the last five years. We monitor that rate for purposes of enrollment projections, but we also monitor that rate to determine whether or not--and it's a very rough statistic--our colleges are continuing to attract students in relationship to colleges in other states. We are concerned about the survival of our institutions because higher education in New York is an important contribution to our economy. I think it probably ranks fourth or fifth in the state in terms of total expenditures. We regard it

in that sense as well as from an educational point of view. Research grant levels indicate how our graduate institutions are doing in the competition for federal funds and for private grant funds.

And these measures are the ways of our trying to look at the "state of the state" of postsecondary education in New York and in relationship to Regents goals. Now if the Regents should identify a new goal or a new program, we would immediately try to identify those measures which would tell us whether or not that goal is being achieved or if progress is being made toward that goal. Again, if we specify a goal where we can't measure what we're doing, that goal is pure rhetoric and serves no operational purpose in terms of what we do within our department. The second set has to do with the very sensitive issue of aid to private higher education. As you know, we have what we call the Bundy program. We allocate $60 million per year as general aid through the Bundy program to private institutions. So we need to hold them accountable and that's a real problem. How do you hold an institution accountable for money received without intervening in their internal operation? I believe that the State University and City University are harassed to death by bureaucrats. You know, for the money they get--it is a lot--their whole internal operating structure is rendered less efficient by government intervention: the annual budgeting cycle, the preaudit of vouchers, the competitive bidding system, all of these arrangements that result in diseconomies are built into government's relationship to public higher education. We don't want to do that to our private institutions. The least interferring way which we could develop, with respect to holding private institutions accountable, is through the filing of audit reports. Of course all private institutions provide HEGIS data, but in addition, we receive audited financial statements from every private institution. I have to admit that they are rarely used; what does one do with an audited financial statement? You know what the fund balances are and you read the auditor's opinion which often states: "In our opinion, if this institution is able to maintain enrollments next year, its financial statements fairly state its financial position."

We are now looking at, and there's a lot of resistance in this state, the use of the Information Exchange Project that NCHEMS has developed as a way of providing a form of public disclosure on cost differences among institutions. The larger and wealthier institutions in the state are arguing that the reporting of cost differences is inappropriate because the public cannot understand and evaluate cost differences, and they would get very upset if they find that at Cornell College $7,000 is spent per FTE at the

undergraduate level compared to only $1,500 at Elmira College. How do you explain to the public that Cornell may be worth five times more than Elmira? It is easy to explain to the students, interestingly enough; it's harder to explain to the public. So, a lot of institutions in the state are objecting to the use of NCHEMS data for that purpose. We are going to proceed, we believe, with getting every institution in the state on the NCHEMS system as quickly as we can. There are two good reasons to do so. The quality of data we receive statewide depends upon consistency, and the quality of the data systems at the institutional level. Second, we think institutions will use that data if they have it available and if we help them find uses for it.

Accountability is a continuing problem and I don't minimize it. How do you hold private institutions accountable; what kinds of reporting systems are sensible; what kind of data do you look at; and for what purposes? I think these questions also should be raised with respect to public institutions. I must say I have more data available to us and the department with respect to private institutions than we do for public institutions. Public institutions primarily feel they are accountable since their budgets are made available to the public and they go through a pre-audit and post-audit of their expenditures. Private institutions believe they're accountable if they make disclosures with respect to their academic programs. Interestingly enough, the private sector is much more responsible than the public sector with respect to academic accountability.

We don't collect all data because we may use it at some time in the future. If we need to answer a particular question, we do a special study. Let me give you three examples: the Bachelor of Technology degree was in fashion about three or four years ago. Three programs were established in New York and we found a year or two afterward they had a heck of a time recruiting students. This was at a time when enrollments were still growing so we began to ask, "Why?" It turns out that nobody really understood what that degree meant. So we undertook a study of industry needs and among students and among the faculties of the engineering-technology schools. We concluded that the degree really was not a meaningful one and ought not to be continued for a lot of reasons, which are unimportant. What is important is we concentrated our research resources on that particular question and collected whatever data we needed.

Peter Keitel, who is among you, undertook a study two years ago of how students finance their college-going costs. For $15,000 we surveyed enough students to be able to generalize about the total student population of New York State--with respect to how they financed the cost of their

education. Instead of maintaining an elaborate data collection system, we simply surveyed a sample of students; we were very careful to get valid results, and we are now doing the same thing for graduate students. The one-million-dollar Higher Education Facility Survey was undertaken because somebody might ask some questions about facilities. We couldn't have done the same thing with respect to student financing of college-going costs. But once we had identified the precise question, it was not costly to obtain the data needed for an answer. It is costly to collect data in anticipation that the question may someday come up; and when it does, you'll find the data probably doesn't answer the question anyway because some key element is missing. So in decision making, we almost always undertake special studies.

Let me turn last to data for planning needs. Here's where our data base is most primitive and the data area where we probably should develop much more systematic approaches. Let me tell you what we would like to have available, and our goal is to have it available in a year or two. We are working with NCHEMS to implement their statewide planning model. The model is not sophisticated enough for us the way it's constructed and we plan to adapt it to our needs. Let me tell you what it is what we'd like to do. We'd like to be able to project enrollments by income level of students for every institution in the state and to be able to measure the impact of changes in state policy on the enrollment distribution among institutions. We also want to be able to identify what resource changes would result from shifts of students among the sectors and by program. What that means to us is that for every institution, public or private, we must have within that model the income distribution of its student body, including students enrolled in special opportunity programs. Also, we need to measure the impact of a change in tuition levels on the distribution of students at all institutions. For example, the question we'd like to ask today, "If we could, instead of funding the SEEK program (which is a City University special opportunity program, at a cost of about $4,000 per student), fund 2,000 students in the HEOP program (a comparable program in the private sector which is state funded), what will be the impact on retention rates? What will be the impact on state costs?" And the state costs involve not just HEOP program costs, but the impact on student aid and the impact on construction costs in the public sector and the private sector. You could get into crude cost-benefit analysis--whether the savings in the state results from a shift of 2,000 students between the public and private sector taking into account the increase in the retention level in the private sector, less all the stickiness in costs that you can't reduce in the public sector. It is worth it from a cost-benefit point of view. We

probably wouldn't do it anyway because of political reasons, but we would at least raise the question as to whether it would make sense even to pursue. Or consider another kind of question we're trying to deal with at this time. Suppose we raise scholarship assistance from a $1,500 ceiling to a $1,700 ceiling next fall. What will be the net impact on state taxes and what will be the net shift of students among institutions in the state? Those questions are interesting questions and the answers are interesting on an aggregate basis. They are useless to us on an aggregate basis because we want to know what the impact would be on each institution in the state; or at least major groups of institutions. Will NYU be better off or worse off? Will the community colleges as a group be better off or worse off? Will the impact be in New York City or upstate? These are terribly important questions because we are not dealing with an aggregate called the higher education system; we are dealing with 225 institutions, each of which responds differently, is in a different Assembly district, and has its own particular and peculiar problems.

So we're going to take the NCHEMS Statewide Planning Model and charge it with sufficient data so that it will be our model. Everyone of our institutions will be able to answer the kinds of questions, the "as if" questions that we want to ask for purposes of planning.

Now, in doing all of this, we do not maintain any data with respect to individual elements at institutions. We don't maintain a record of all students at all institutions; some states do, I understand. (We do maintain unit record data on facilities at all institutions and that's a horror. Everytime I think of it, I think what a total waste of money that is.) What we do is define the data elements we need and we help institutions develop a data bank necessary to maintain the data for when we need them. We help the institutions themselves develop sophistication with respect to their information systems so we can get access to that data in a timely way when we need it. Thus, our long-term goal, meaning three years, because that's long-term in New York, is to get the NCHEMS planning model on line, which involves, we think, getting most of our institutions into the NCHEMS format and minimizing our own data requirements as we have in the past to the kinds of questions that we think we need to answer on a regular basis.

The message again--collect as little as you can and know how you want to use it when you do collect it. And be sure that you share it with the institution which is doing the hard work of getting the data together to meet your needs.

Thank you very much.

EXHIBIT A

IMPLEMENTATION OF REGENTS GOAL FOR POSTSECONDARY EDUCATION

Goals	Open Access	Comprehensiveness of System	Special Educational Opportunity	Excellence & Quality
Objectives	Provide every high school graduate with postsecondary opportunity	1. Maintain Public, Private, Proprietary Institutions 2. Extend Educational System to Non-Education Institutions	Increase Participation of Women and Minorities	Maintain NYS as a Center for Higher Education
Programs	1. Subsidized Tuition City, State Univer. Comm. Colleges 2. Tuition Assistance Program 3. High School-College Articulation 4. Open Admissions 5. Guaranteed Transfers	1. Coordinated Planning 2. Degree Powers for Proprietary Institutions 3. Regents External Degree 4. Credit Bank 5. General Aid Private Colleges	1. Affirmative Action 2. Special Opportunity Programs 3. Inmate Education 4. Part-time Enrollment Shifts	1. Evaluation of Doctoral and Masters Programs 2. Program Regulations 3. State Fellowship Program 4. Bundy Aid
Measures	1. College-Going Rate 2. Income Distribution of Students 3. Ratio of Students From Upper Half of Income Families: Lower Half	1. Enrollment Distribution 2. Financial Health of Institutions 3. Projected Enrollments	1. Minority Enrollment Level 2. Faculty Staff Distribution	1. Instate College Going Rate 2. Research Grant Level 3. Accreditation and Registration Results
Data				

SECOND MODULE

"PROBLEMS AND ISSUES RELATED TO THE DATA GAME"

by

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Virginia Polytechnic Institute and
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PROBLEMS AND ISSUES RELATED TO THE DATA GAME

"When there is little prey, the lions quarrel."
Moslem Proverb

The strain of retrenchment is showing in the higher education community. Out of the necessity of competing for limited clients and funds, institutions often find it less attractive to cooperate with one another than to guard their own territory. The same can be said for the departments and schools on a single campus. Careers are most readily built during periods of growth. Most of the incentives created by the traditional reward system in higher education prompt administrators and faculty to strive to, at very least, hold on to the numbers of students and the amount of resources they now have. Like the actress who does not know how to grow old gracefully, higher education seems unable to accept the fact that the priorities of many Americans no longer grant top billing to traditional colleges and universities as the best possible way to garner the greatest good with expenditures of public funds.

Since no one really expects those with vested interests in the traditional higher education establishment to expend great energy looking for ways to limit, or even diminish, their own role, new agencies to coordinate and monitor the several campuses within each state have been established. Understandably, such words as faculty activity analysis, cost-benefit accounting, and program complimentation are alarming to scholars who honestly feel that the best available means of attacking social ills and technological problems is through the application of the expertise of academe. No one can be against efficiency or full disclosure in public organizations. Yet, the spector of a future in which educational decisions may be made according to the numbers rather than by the powers of philosophical persuasion causes a shudder in campus offices from the presidential suite to the smallest faculty cubical. New or strengthened state higher education agencies are, by establishing check points within the conduit for public funds, threatening opportunities for upward career mobility as well as limiting campus autonomy to launch promising new programs. Established academicians find it difficult to accept that state agency staff, who frequently are less experienced and prestigious than campus leaders, are qualified to make judgments about the limitations or future shape of the higher education

enterprise. Thus, we have drawn uncertain battle lines between state agencies and local institutions and, in some cases, between different sets of institutions. No small part of this advisory relationship will be a continuous competition in what could be dubbed the Data Game.

Data and information are powerful tools. Difficult decisions can turn on a single piece of hard fact despite a wealth of contrary testimony and opinion. Hard data provide a defense for the decision-maker under pressure. Thus, the central rule of the Data Game is that you must obtain more and better data than the opposition or, if failing that, discredit the opponent's data. A corollary rule cautions that above all, you should never generate the kind of information about your own campus that may prove more useful to the coordinators than to your own spokesmen.

In theory, data are but neutral bits of descriptive information. In reality, this is almost never the case. Just as a sound has meaning only where there is an ear to hear it, data cannot be examined in the absence of the value systems each of us carries. Told that the student-faculty ratio in a given department is 12 to 1, some will applaud that fact as a fine accomplishment while others will quickly point the accusing finger of fiscal irresponsibility. The bit of data may be neutral but the viewers are seldom unbiased. The whole concept of accountability would not be so troublesome if each person could select the criteria and standards by which he would be evaluated.

A popular pastime on the academic cocktail circuit during the past few years has been the telling of horror stories about the misuse of campus data by those outside the academic club. Unfortunately, most of the anecdotes are true. However, legislative analysts and state coordinating agency personnel have no monopoly on the misuse of data. The Data Game is very democratic. Anyone can play and institutional people may even have invented the sport.

Several ways to profitably misuse data can readily be identified. Perhaps the most widely used strategy in the Data Game is to display only those pieces of information that are helpful in supporting your preconceived position. In this strategy, half a picture is better than a full view. Political candidates speak about their strengths and accomplishments and seldom draw attention to their past failures or personal limitations. We have learned to be somewhat skeptical of politicians who would have us believe that they are paragons of virtue. We should also become more sophisticated in expecting educators to be willing to display information about both positive and negative aspects of

their operations. All is not perfection behind the ivy walls and educators who appear overly protective of their institutions increasingly will lack credibility.

A second way of manipulating data in support of preconceived positions is by aggregating data elements using decision rules that maximize some comparative figures and minimize others. When itemizing our income tax deductions, all questionable items become deductions in order to minimize the taxable income. Sometimes it is difficult for educational organizations to resist the temptation to count credit hours or allocate costs in such ways as to shape statistical reports in their favor. This can prove a dangerous practice since it is impossible to maximize more than one activity at a time. If the cost of research is maximized, the cost of instruction and other activities must be minimized. If the tally of graduate credits is maximized, the total of undergraduate credits must be diminished or the case for a legitimate curriculum may be compromised. Statistics about educational operations are used for multiple decisions and it is difficult to recalculate the statistics to suit the requirements of every new decision that arises.

There seems to be a proclivity among some analysts to place all kinds of comparative data from several campuses in rank order and then assume or imply that relative locations on the list indicate relative value or quality of performance. Listing the high temperatures for several locations in rank order does not tell the reader whether it was a nice day in each location. The question is, nice for what? Skiers perceive good weather in one way while those hoping to swim at the beach see it quite differently. Arraying educational costs in rank order tells us little about the effectiveness of the expenditures in acheiving unique educational objectives. Listing the most active stocks on the New York Stock Exchange does not tell us if any one of them was a good or poor buy. Listing student-faculty ratios from high to low does not indicate if any of the courses offered were worthwhile.

Data can be manipulated so as to mislead decision-makers. Conversely, decision-makers can choose to base judgments on only scraps of evidence. Either act constitutes a misuse of data and shows a lack of responsibility in seeking continual improvement in the management of our limited educational resources. Reaching decisions about the allocation of resources is never easy. However, data and analysis should always support clarity and illumination of alternatives rather than obscurity or bias.

Perhaps the most potentially damaging misuse of data can stem from the current preoccupation of many planners with gathering historical statistics as a basis for future planning and budgeting decisions. As well meaning as these analysts may be, the mere discovery and perpetuation of history may do disservice for both those who seek fiscal efficiency and those focusing on curriculum improvement. Gamblers wouldn't think of setting odds on sporting events on the basis of past win-loss records alone. They always consider new events and inject logic into the odds-making process. Similarly, discovering the average student-faculty ratio or cost per credit across the country may tell us nothing about what such statistics should be for a particular program in a local college or university.

Discovering the status quo is certainly worthwhile, but not to the exclusion of expending adequate energy and time in building consensus as to the planning parameters that should be employed for future operations. It may be desirable to perpetuate historical funding and workload policies through future budgetary periods. On the other hand, the experience of past operations coupled with newly identified needs and goals may call for radical change in resources allocation patterns. More time spent in arriving at plans through hard logic related to what it takes to accomplish specific educational tasks instead of so much time and energy expended in analyzing the historical records would stimulate the educational community toward self improvement. Few educational planners wish to be fettered by past equations, so why not concentrate more effort on what ought to be rather than what has been.

Sociologists have noted that each person tends to act according to the best interests of his group. Members of labor unions may have trouble appreciating the problems of management and corporate management may, in turn, fail to understand the motivations of government officials. Similarly, those occupying various roles related to the higher education Data Game are most concerned with the potential impact on their own positions, opportunities, and responsibilities. Faculty, institutional administrators, and statewide coordinators may be viewed as three separate groups with differing concerns and views of the possible consequences of providing more data to other educators and the public at large. The reactions of each group to the development of more mangement information result from a combination of perceptions about what is good for higher education and what is good for them personally.

Faculty suspect that those in state agencies and the general public neither understand nor appreciate their unique working style or professional role. Out of necessity,

faculty pursue many interests simultaneously. Instruction is only one facet of the faculty member's activity. Research and the development of new knowledge and applications, as well as counseling with students and providing services to public and private organizations through consulting, are all part of the comprehensive activities that keep a faculty member current and valuable. The very nature of the faculty role establishes a situation in which erratic patterns of workload, assignments, and accomplishment will occur. Exposure of such erratic patterns through analysis and presentation of cold facts in isolation from complete explanation is alarming to faculty.

Those who talk of mandating standard workload assignments for faculty show a lack of appreciation for the realities of the faculty condition. Faculty are jealous of their professional role that requires a large measure of self-direction. They feel that progress is made by those with the freedom to try new ideas and manage their own resources. Any use of data that tends to limit the entrepreneurial latitude of faculty will quickly be resented and resisted. Faculty are fearful of being turned into production line employees in the name of efficiency and feel that such a move must ultimately damage the quality of instruction, especially at the graduate level. The wise use of data and planning information should avoid destruction of the incentives of faculty as self-directed professionals and simultaneously establish planning strategies that direct the limited educational resources to needed programs in fair proportions.

Like faculty, institutional administrators fear loss of autonomy to manage their own campuses. Governmental preoccupation with scrutinizing operational details limits the administrators' ability to use their alloted resources as they think best to achieve the goals of the institution. In addition, too much control from above denies opportunities to start promising new activities that help maintain a dynamic organization. Most administrators are intensely aware of the political processes that can quickly lead to the capricious use of data as a weapon against the institution. In the heat of rough and tumble state politics, data may quickly be turned to uses for which they were never intended. To the extent that mistrust in the fairness of the political process exists, administrators understandably will wish to have less data rather than more available to bureaucratic statewide planning agencies.

Perhaps there is also more than a little fear on the part of administrators that they will appear to be in charge of poorly run organizations when judged by the criteria of the business world. Again, the conflict between business-like efficiency and decentralization of decision-making that

has been held so important in the university setting may be highlighted by an over abundance of analysis and data. Most administrators would be quite willing to "tell it like it is" if others would try to understand that colleges are not factories and the curricula are not assembly lines.

Those in statewide higher education coordinating agencies are also under considerable pressure when participating in the Data Game. Many are in relatively new positions without established prestige or credibility. They must justify their existence to legislatures and executive offices by demonstrating their ability to plan effectively for the state's postsecondary education network. Currently, they must rely almost totally on data provided by the individual campuses for their planning processes. Thus, the institutions have the power to control the statewide planning process by the flow of data they are either able or willing to report.

An unfortunate adversary relationship has arisen between institutional leaders and state agency personnel. The kind of mutual trust that would enhance opportunities for effective statewide planning most frequently do not exist. Statewide personnel frequently feel that institutional representatives wish to thwart their efforts and render them ineffective in accomplishing the statewide planning function upon which their existence depends. Lacking the experience and prestige of major campus leaders, they often feel disadvantaged or insecure when meeting institutional representatives at the conference table. This leads to a tendency to avoid involvement with campus leaders whenever possible and simply plan for them rather than with them. A lack of interaction in the statewide planning and budgeting process can only intensify the feelings of suspicion and resentment on local campuses.

In such an atmosphere of adversary relationships compounded by honestly held differences of opinion about educational priorities, the Data Game may provide a convenient battleground. The state agency requests data and the institutions reply, "first tell us what you intend to do with it." The squabbling can be both frustrating and embarrassing to all parties. To the general public and its representatives in state and federal government, higher education is seen as being unable or unwilling to coalesce in deference to the public good. The consequence may be more of the very kinds of centralized control and demands for stringent accountability that are most feared by the institution.

Clearly, it would be in the best interest of all concerned for higher education groups to cooperate in an effort

to design a reasonable and laudable plan in each state and then present united support for the funding of that plan. Data and analysis would play a significant role in such an approach providing the time honored Data Game strategies can be cast aside. Data resulting from historical analysis are not answers. If they are perceived to be answers, the wrong questions are being asked. Historical analysis is important in letting educators know where they have been so they can determine better where they want to go. Historical norms must not automatically become frozen policy for then the flexibility to deal effectively with future needs and opportunities will be lost. In most stages, current statewide planning approaches are less than satisfactory to all concerned parties. The major question for the future is, "How can a planning process be devised that will meet the basic needs of faculty, various kinds of institutions, statewide planners and public good?" Finding an answer to that question should be a primary concern in every state.

The chore of replacing the current Data Game with a more acceptable planning process may be accomplished if three sequential tasks are completed. First, a more complete delineation of the prerogatives and areas of autonomy attached to each level of educational management should be developed at the statewide level and reviewed periodically. The Carnegie Commission has called such statements of policy an educational Bill of Rights. Faculty, campus administrators and state agency personnel will all feel more comfortable if there are clear policy statements guaranteeing certain decisions and responsibilities to each group. Faculty need assurance that the governance process will not encroach upon their right to guide the curriculum, participate in appointment of colleagues or manage their own resources. Campus administrators will feel more comfortable with written policies assuring them control over management of internal affairs. State agency personnel need to know the limits and imperatives of their responsibility in evaluating programs and budgets and developing a master plan for postsecondary education. In short, the enabling legislation that establishes most state coordinating boards is too vague and broad to lend clear definition to how the state higher education system is to operate. The result is a pushing and shoving match in which each higher education faction seeks to carve out the largest possible domain for its own control. An educational Bill of Rights is needed at the statewide level so that all participants will know the rules of the game. The time to establish policy is before crises occur rather than in the heat of jurisdictional disputes. Since the jurisdictional disputes have already arisen, the construction of the suggested educational Bill of Rights will be a very difficult, albeit important, undertaking.

A second necessary task aimed at pacification of the Data Game is the development of a clear statement in each state defining the sequence of events within the planning and budgeting processes. What is needed is a "roadmap" (or PERT chart) for planning. Too often the planning and budgeting process is so haphazard and erratic as to mystify those who are not perpetually involved. The planning map would be limited and, in part, dictated by the particulars of the educational Bill of Rights. The statewide planning process it defined could not encroach upon the management territory preserved for faculty or local campuses by the Bill of Rights. However, the map would spell out the details of decision points and the technology to be employed by the state agency in completing the planning and budgeting tasks allotted to it. The advantage of a map for planning would be that all parties would know ahead of time the important negotiation points upon which plans and budgets would be built. When the state agency is either unable or unwilling to adequately describe how it intends to conduct its business, institutions are frustrated in knowing how best to prepare their proposals.

Given a clear strategy for statewide planning and budgeting, specifications for a statewide data base and management information system can be developed. This effort would constitute the third task intended to defuse many of the Data Game weapons. Emphasis should be placed on collecting only those data elements that are essential for the prescribed planning and budgeting process and avoiding the temptation to collect every available detail related to campus operations just in case they should someday be needed. Too many statewide management information systems have been designed prior to completion and acceptance of the planning roadmap. In such cases, the management system may dictate the planning process and this is clearly a case of the "tail wagging the dog." Systems should serve people and not the other way around.

When institutions have played a role in defining an appropriate planning and budgeting process for the statewide higher education network, they are likely to grant some allegiance and credibility to that system. Of course, gaining consensus on the details of a statewide planning process will take tremendous patience and considerable interpersonal skills. Without institutional support of the planning and budgeting process, the flow of data into a statewide data base in support of that planning process will usually be painfully irregular. With institutional support of the planning process, the incentives will be present in the institutions to make the management information system work and the flow of compatible data from the several campuses will occur much more smoothly. However, the first time the

management data are misused by the state agency, institutional allegiance to the prescribed statewide planning process will be shattered and the old Data Game will start again. Two basic principles that state agencies should remember in order to avoid shattering the fragile consensus surrounding the planning process are: (1) be scrupulously accurate with any information displays about institutions, always giving institutions an opportunity to criticize reports before they are published, and (2) concede that reaching consensus pertaining to what ought to be is more important than historical analyses that tend to perpetuate what has been.

Smoothing of the statewide planning process will require a lot of give and take by all parties. Institutions will need to provide data in support of differential funding formulas for various program clusters at different student levels. State agencies must agree not to tamper with internal institutional management problems. In addition, statewide coordinating agency personnel must begin to be viewed as true advocates for education, but institutions must acknowledge that advocacy does not mean simply carrying every message each institution proposes to the legislature. In short, what is needed are more educational statesmen and fewer educational politicians. Leaders at both the statewide and institutional levels who are able to take a broad, long-range view and rise above the current bickering may make a major contribution. Human nature and material incentives will always preclude perfect harmony. However, any measure of improved cooperation among institutions and agencies based on hard won consensus will help higher education regain public confidence and support.

The technology for effective planning and management systems now exists but, as usual, the technological advancements have surged ahead of the human capacity to fully utilize them. We must first reach a higher level of cooperation and trust if we ever intend to stop playing the Data Game and put to rest the accusation that higher education is interested in studying everything except itself.

THIRD MODULE

"EXTERNAL INTEREST GROUP IMPINGEMENTS"

by

Richard Millard, Director
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EXTERNAL INTEREST GROUP IMPINGEMENTS

Some of you have heard this story before, but I think it is particularly appropo in relation to the topic assigned which is external interest group impingements on the educational process, in particular the state planning process. Warren Hill tells me he was driving along a back road in Connecticut before he joined us in Denver, when he came up behind a truck. This truck was driving along and the driver was engaged in a most peculiar kind of an operation. He took out a baseball bat and every few minutes as he was driving along, he would reach back behind him and bang the side of the truck. This went on over the winding road through the Connecticut hills for a long way. Finally, they reached a little town and came to a stop light when Warren was able to drive up beside the truck driver. Filled with curiosity, Warren asked, "Just what are you doing? I don't understand this at all." The driver replied, "Well, I'll tell you. This is a one-ton truck and I have two tons of canaries in the back. So, I've got to keep them flying."

In some ways, my job is to talk about the canaries. I would like to talk about the general problem--what constitutes impingement and the nature of what we mean by external groups. Lou suggested that I take one issue and focus upon it. The issue I've selected is one most of you are at least periferally familiar with, but one that's becoming more and more central which illustrates some of the canaries in the woods. The issue I would like to take is rather complex; it involves the long and involved history of the interrelation between state approval, accreditation, and institutional eligibility. While it may seem very far removed, I suspect it is going to become a more and more pertinent problem on the state level all the time.

Let's look for just a minute at this matter of what we mean by "external interest group impingements." In the first place, it's an extraordinarily slippery title--and it's extraordinarily slippery for a very good reason! The reason is that what consitutes an external group will change from time to time. The same group may be an external group in relationship to one issue, and an internal group in relation to another. What we're really talking about is the "we-they" relation and this constantly shifts. To begin to identify the external groups, one must begin by identifying the "we." And I find that difficult also. I think what we're talking about as far as the "we" is concerned, and I'll use this as a frame of reference, is the planning-

coordinating process. It's possible to say that activities, groups, and agencies not within the planning process, whose activities intentionally or unintentionally impinge upon the planning process and thus, must be taken in account, constitute the external agencies. And sometimes, the unintentional factors can make an extraordinarily serious difference in the planning process. From this standpoint, one can see that almost any agency or group can directly or indirectly become an external agency in one context and an internal agency in another.

Such agencies or groups are not necessarily the opposition. To assume so could be a very serious misjudgment. What's involved may well be simply a difference in purpose, but it is a difference in purpose which may well call for adjustment of or addition to the data base, or to the planning process itself.

To take a few kinds of examples: Faculty can be an internal group in relationship to the planning process or they can be an external group. They can affect the planning process directly by intention or they can affect it indirectly and even unintentially. The question, for example, of collective bargaining may be something which the state planning agencies must take into account. The faculty may have become involved in collective bargaining as a result of something that has nothing to do with the planning process. Or they may have gotten into it under other circumstances directly as a result of the planning process. So you have to look at the question in terms of the particular purpose of the group in question how this and the nature of the kind of impingement are related, and whether the purpose was extensive in which case the group becomes part of the "we."

Institutional administrators are part of the system and, from this standpoint, would normally be considered as part of the "we." But under some circumstances, they may also constitute an interest group which may be counterproductive in relationship to the planning process itself. One of the reasons, for example, as I think you are well aware, why a number of states have gone to all lay boards instead of boards that include administrative representatives of the institutions was the discovery that under such circumstances, the interests of particular administrators are closely bound up with the issues; thus, it makes it hard to obtain objectivity and it's pretty hard also for the board to obtain objectivity. Under such circumstances, the specific interests of an institution vis-a-vis the system, when this challenges the integrity of another institution in the system, can, in fact, become an external factor.

The federal government, again, is a fascinating case in point in terms of types of impingements on the planning process which, in many cases, are direct and, in some cases, are indirect and some cases are complementary and other cases may work in the opposite direction. For example, when the federal government, as it has under some circumstances, dictates specific structures for the states, this is an external impingement and one which may or may not be in harmony with the effective purpose the federal government itself is trying to achieve. Such structures can interfere with the planning process. One of the most interesting and difficult problems we face today is in the area of vocational education which involves the development of structures within the states that are not necessarily in accordance with the best interests of the continuity and community of education within the states. We are faced, for instance, with the relationship to the new Vocational Education Act, with the significant question of what constitutes a sole state agency, whether there should be a sole state agency, and how this relates to the planning process in general. Let me just add a footnote: it's quite conceivable that the form the new Vocational Education Act takes will have more direct impact on the planning process for postsecondary education in the period immediately ahead than almost anything before Congress at the present time. I believe this is one that has to be watched; it is one which does involve another kind of internality-externality.

Other state agencies can be either part of the "we" or part of the "they" and "they" can be extraordinarily difficult to deal with. And particularly since we've moved to the so-called range of postsecondary education, the areas of mutual impact have become more acute. This again comes back to the tremendous importance of such an issue as the Vocational Education Act. The federal government can pass legislation, and this is true of state legislatures as well, in which the impact on postsecondary education may both indirect and unintended. Such legislation may not specifically or primarily be aimed at education and yet may have an overwhelming effect on the states in education and state planning for education. The Buckley Amendment is one case in point. While it was not primarily concerned with student records, it is concerned with records, in general, and it fell out heavily in the student area. The Erwin Act, in relation to privacy of information is going to have a major impact; I think. I don't know whether you're familiar with it or not, but what it does is make it mandatory on the federal level that anyone who fills out a questionnaire or any report, a statistical report, whether gathered by NCHEMS or others, must have the approval of the person who is being reported about, if this information cannot be shared except for specific purposes designated by law.

This may have some very interesting implications even in relationship to HEGIS.

The Erwin Act has already raised concerns in relation to the problems the Keppel Task Force on student assistance has been working on in coordination of state, federal, and institutional student aid. One of the things, for example, that the Keppel Task Force is urging and that the Office of Education under John Phillips and his national workshops have been urging is movement to a common application form, a form for application for student aid across the board. This would be extraordinarily helpful in terms of bringing balance into the student aid picture. Such a common form could be used for basic opportunity grants; it could also be used for the Pennsylvania Higher Education Assistance Agency operations, and for institutional aid. From this standpoint, it might bring some order out of what has been the chaos in which the states really haven't been able to know what the federal portion is going to be through Basic Educational Opportunity Grants so that state programs could build on federal programs intelligently. This possibility is threatened; at least the lawyers and officers in HEW are raising the question under the Erwin Act. Hopefully, there is a way to get around the Act, but this again is a case of an act which in its own sphere made great sense, but in terms of the spill-over effect does not necessarily do so.

The same thing can even be said in relationship to state legislatures. The Citizens Committee for State Legislatures out of Kansas City has recently completed a very interesting study of four states in which they took first the budget bill; second a bill, which was directly aimed at education; and third, a bill which had a spill-over effect on education in each of these four states to show the legislative history. For bills with spill-over effect, they asked whether there was consultation by the committee of origin with the Education Committee or with the education establishment. In almost every case, there had been no consultation and there was not even any awareness of the potential spill-over effect.

These are the "we"-"they" situations, the impingement situations which all of us face.

Then you can move on into what are more frequently identified specifically as interest groups; i.e., specialized groups. You can name them and they constitute specific lobbies in some cases. They are concerned with what takes place in the planning process on the state levels. All other groups involved in the area of collective bargaining are cases in point. NEA, AAUP, and AFT are all legitimate interest groups. They must be taken in account; what they're

doing may or may not be supportive and conducive to effective planning on the state level or to effective coordination, but they can't be overlooked.

The particular segments within the postsecondary educational process also constitute various interest groups. Vocational education and the problems that arise in the interface between vocational education and the rest of postsecondary education are cases in point. In addition, one of the areas which I think not only is, but is going to be, of major importance for planning is the whole area of adult and continuing education. Here also you have orthodoxies; you have special interests; some of them very very strong. And yet, I suspect this is an area in which unless we begin to move toward some effective planning on a statewide level, we may run into the worst hornet's nest of competing nonstructured programs one can imagine. This has relevance right now; Title I is coming up for reconsideration with all the rest of education amendments of '72. If we're interested in removing some of the schizophrenia and looking more in terms of Title I as a vehicle for developing effective coordination and structure within the continuing education life-long learning spectrum, I think now is the time for action. But there are others acting too. These are the canaries again. And somehow, it seems to me, it becomes extraordinarily important to take these canaries into account.

One of the questions that Lou included in the list at the beginning was how to identify the legitimate interest groups. I don't have an answer to that except to say one can't overlook any of them, at least at the outset. From this standpoint, part of the function or the problem in planning and coordination is to recognize the multiplicity in the field and to recognize that the canary you may have overlooked is the one who could turn over the truck. That doesn't mean that all groups must be listened to equally and at all times. It doesn't mean that you must every day for three days, in order to assess the situation, entertain someone who is rather vocal and who has a particular act in the legislature that he is concerned with. I think it does mean that you're treading with real danger if you don't recognize at least the complexity; and then, in light of the situation and the problem, assess such operations in terms of the priorities.

Let me turn to the complex issue of accreditation, eligibility, and state regulatory responsibility. This is an area that has become increasingly more important. It involves the whole consumer protection movement among other things, and here again, the canaries are many. Let me go back just a little bit into some history. Up until the

late fifties, to a very large extent, the attitude on the part of most states, and there are notable exceptions, was that in the education sphere it was up to the student to beware of the institution--public, private, or proprietary.

From the very beginning, it is quite true that responsibility for the authorization for institutions to operate has rested with the states. After all, the state does provide the articles of incorporation, or does charter the institution to operate if it is a degree-granting institution, or does require registration with the secretary of state or whatever the law in a particular state may require. But to a large extent, the issue of registration was pretty much academic and it was up to the student if he chose to go to a particular place to take the consequences.

However, the problem of degree mills has been with us, as you know, for a long time. There has been both national and local concern about them. As early as 1960, there was enough concern so that the American Council on Education, in cooperation with the National Commission on Accrediting, did attempt to develop some model legislation for two purposes; one was to authorize institutions to operate. The legislature related particularly to the degree-granting institutions and proposed more effective state regulations. A second piece of model legislation related to false or fraudulent advertising. Neither of these got very far. As the decade wore along, the number of so-called diploma mills did decrease somewhat. Toward the end of the decade, Life did a fascinating article in diploma mills in the country, focusing particularly on Florida which at that point did not have regulatory legislation. This re-raised the issue and the question of how you control diploma mills or how to keep them from occurring began to be asked by a great many states across the country.

Along with the Life article went a series of interesting developments. Accreditation up until about the mid fifties was an important means of institutional evaluation by peer group judgment which helped to preserve institutional integrity by keeping at least the marginal and questionable institutions from receiving appropriate recognition. To a large extent, the accreditation movement was then really voluntary and the institution belonged, if it felt that it was important to be accredited. It was a very important club to belong to for obvious reasons. But on the whole, the accrediting agencies could rightly say they were voluntary, that accreditation was primarily concerned or ought to be primarily concerned with the preservation of standards and the development of standards for progressive improvement. But then the federal government got into the act and with the federal government's getting into the act, the picture changed. Beginning, I believe, with the National

Defense Education Act in 1958, as federal funds became available to students to go to institutions or to institutions themselves how to reorganize legitimate higher education institutions for receipt of federal funds became crucial. The federal government chose as the way to distinguish between institutions that should be eligible for receipt of federal funds and those that should not; the accreditation route.

Now this opened up another can of worms and a very interesting and very important one -- what, in affect, the federal government was saying was that we will rely upon the peer judgment in the accrediting process for determining those institutions that are reliable. As the federal funding picture increased with the Facilities Act of '63, with the Higher Education Act of '65, and coming on down to the most recent, the Act of '72, all with increased attention to accreditation to determine eligibility, accrediting became no longer quite so voluntary. It was, after all, the key condition of the receipt of federal funds. And at that point, of course, a good many people became much more interested in accrediting than had ever been interested before.

There were problems within the accrediting structure itself. For one thing, the accrediting agencies did not, at that point, and still do not wholly cover all the types of institutions to which students can legitimately go. They did up until the mid sixties tend to exclude proprietary institutions. One of the first impacts of the federal eligibility picture was the formation of accrediting agencies in the proprietary area: ACIS (Association of Colleges and Independent Schools) which deals with the business schools, NATTS (National Association of Trade and Technical Schools) which deals with the technical schools, and Home Study Council which deals with correspondence schools. But even with these, there were still wide ranges not covered. One of these areas which was not well covered was vocational education in public postsecondary types of institutions other than community colleges. And yet, you will find that back in the mid to late sixties, a series of resolutions came out of the National Governors Conference and the National Legislative Conference urging the regional accrediting agencies to expand their scope to include a wider range of postsecondary institutions including technical and vocational schools. The regionals were slow to do this. They have done it, but it was already the early 1970's before major developments correcting the situation took place. The interesting part about it was that in these resolutions from governors and legislatures particularly the latter ones, there was the counter threat that the states would move into accreditation of these institutions if the agencies did not.

You are familiar, I think, with the Marjorie Webster case which challenged the claim of the accrediting agencies or their position in relation to non-accreditation of proprietary schools. The Middle States ultimately won that case, but this was a hollow victory for the proprietaries if there ever was one. That case today would no longer be necessary, but it did two very unfortunate things. It focused a great deal of public attention on the more rigid and least desirable aspects of accreditation and part of the end result of this was the beginning of serious question, or threat to accreditation itself as a basis for institutional eligibility. Jim Kerner reviewed the Majorie Webster case with a scathing denunciation of accreditation. You're familiar also, I am sure, with the Newman reports on accreditation and more recently, the Orlans report.

There are groups within the federal government that would like to see accreditation removed entirely as a basis for determining institutional eligibility and would like to move to a wholly federal operation. If you think, and this is a value judgment, that accrediting agencies are likely to be too rigid, I would suggest that all we need is about a year of federal determination of eligibility by itself, and the accrediting agencies will look like the most liberal agencies that we've ever run across. This is one part of the picture.

The other part of the picture, and I'll try to draw these together, goes back to the states' regulatory functions in authorizing institutions to operate and relates also, in this respect, to the other part of the federal picture which involves the movement to postsecondary in contrast to higher education. This latter in the amendments of 1972, as you are well aware, provided that guaranteed loans and student aid could be used in proprietary institutions. Now the proprietary institutions point out rightly that they've been around a long long time and they also can point out rightly that they have tended to be overlooked as important educational resources within the states. Nevertheless, opening federal programs to proprietary institutions and their students not only tremendously increased the number of institutions but also the possibilities for below standard and fraudulent operations.

But going back to the states, in about 1970, you find a very confused picture on the state level in regard to regulations and it's still confused. There were a number of states, if I remember correctly, about twenty, that did have legislation or regulations that applied to degree-granting, non-profit institutions. In other words, such legislation moved in the direction of attempting to control the diploma mill situation. These varied in strength; some were reasonably good, some were not. The shining example in this

case, of course, is New York. New York has not only been an approval agency, a licensing agency, but an accrediting agency almost back to colonial times. This is not, in any sense of the word, the usual pattern. The other part of the picture, of course, is regulation of proprietary schools. Some states at that point, if I remember correctly, about twenty-seven, did have some type of regulation for proprietary institutions.

As we moved into this decade, the Education Commission of the States began to get a series of different kinds of pressures and inquiries--some from states, Maine, California with its $50,000 exclusion and a number of others, e.g., Colorado asking if we could give advice or help in terms of the development of more effective regulatory legislation. At the same time, the Federation of Regional Accreditation Agencies was running into the problem more and more in relation to diploma mills and they sent in a formal request that ECS take the lead in developing model state legislation. And interestingly enough, the Gould Commission on Non-Traditional Studies did the same thing. As a result, ECS did form a task force to develop model state legislation for authorization of institutions to operate and grant degrees.

Then several interesting things happened. First, somebody at the Land Grant Association took a look and said, "Ah, the Education Commission wants to regulate institutions." We tried to clear that one up. The task force operated for a period of about nine or ten months and came up with some model legislation which embodied two or three basic principles. One of them is that this is not just a problem of proprietary schools, nor is it just a problem of degree-granting institutions but runs across the board, and from this standpoint, the state regulatory function should be applied to all areas of postsecondary and higher education. A second principle was that the state does have regulatory responsibility and with this regulatory responsibility goes at least some policing responsibilities that it should develop. This was essentially authorization legislation which would authorize the state to set up or to designate an agency for this purpose, but also authorize it to develop regulations and impose penalties in regard to failure of institutions to act including discontinuance of an institution's operation in extreme cases.

There is another part in the picture. With the extension of the eligibility of students of the proprietary institutuions to participate in the guaranteed loan program, a series of new issues began to arise. And as you will well remember, a lot of congressmen and other people became concerned with the default rate and the concern with the default rate led to a series of investigations, some of them

more formal, some of them less, two of the most interesting ones of which were newspaper investigations. One was the Boston Globe and the other, the Washington Post; there will shortly be another one in the Chicago Tribune. What those investigations uncovered, among other things, relates not only to default rates, but extends far beyond the question of defaulting on guaranteed loans themselves. They raised a whole series of questions in relation to truth in advertising, in relation to educational malpractice, in relation to institutional closures, and in relation to some rather fancy finagling in terms of recruiting students by promising them loans of one sort or another. And while the Washington Post and Globe articles focused primarily on the proprietary institutions, it became pretty obvious that such malpractice was not solely a function of proprietary institutions.

Now, let me add one final factor. One of the unfortunate things about this particular subject is, if we really tried to cover it, we would be here until a week from next Wednesday. Unfortunately, I have to be back in Denver tonight and you have another program coming up immediately. But the other factor that has entered into this picture is the growth of the consumer movement itself. It is not at all surprising that the consumer movement would turn its interest in the direction of education. After all, education is a major business; there is no question about that and that students, whatever else they are, are consumers; they invest heavily, both in time and money, in the educational process. As a result of a number of these things, ECS held two conferences on consumer protection in postsecondary education--one in Denver in March of 1974 and one in Knoxville in November of last year.

A number of other groups including interests of government have gotten involved in consumer protection in postsecondary education. One of these is the Federal Trade Commission. I think most of you have taken a look at the proposed rule for proprietary schools of the Federal Trade Commission. This is an extraordinarily stringent rule which would require proprietary institutions to supply types of information which would probably not only cost the institutions tremendously to collect, but is of such a nature also that as uninterpreted information it could be extremely damaging and the institution would be without recourse. One of the factors behind the consumer protection conferences we held was the recognition that unless we could get the consumer protection groups, the institutions, and the state agencies together it is very likely (the FTC rule underlines it) that somebody else would accept the responsibility and impose restrictions on institutions which could be ruinous.

Now, how does all of this affect the planning process? First of all, let's go back again to the state regulatory process a moment. What's the situation today? The states have made considerable progress in developing their regulatory authority over proprietary schools, but far less in relationship to degree-granting institutions. In the proprietary area, forty-six states now have some kind of legislation. Again, some of it is not good, some of it quite good. Some progress has been made in the degree-granting area. But even in states with regulatory agencies in both areas, the proprietary schools tend to be under one board or agency, usually the department of education, and the degree-granting institutions under another, the board of higher education. The state agencies that deal with proprietary institutions now have a national group, the National Association of State Agencies for Proprietary Schools. It's a good group. Joe Clark from Indiana is the retiring chairman of it. They've done a lot in terms of studying their own operation. The interesting part about it is, with about two exceptions, all of the NASAPS group are under departments of education and yet, this is clearly a postsecondary education group.

Now, if we're to move in the direction of effective planning of postsecondary education and regulation to prevent malpractice in it, then it becomes very important, it seems to me, that each state should begin to look again at where this function should lie. This does involve your operations very directly and certainly the degree-granting parts of them.

An additional factor that enters into this is the role of the courts, which have now gotten interested in consumer protection in postsecondary education. I'd like to point out that there are two very fascinating cases you'd better watch carefully or we may well find ourselves in the same kind of malpractice insurance situation the doctors find themselves in before we get through. One is in Connecticut, the University of Bridgeport, and the other is in Washington, D. C. at George Washington University. In both cases, students have sued institutions on the basis that they did not get what they went for. They got inferior education in relationship to the course; the course was not described as it was in fact and that the time, as the Washington plaintiff said, was a complete waste for everybody. There's a fascinating footnote in the Connecticut case. This was in teacher education. The plaintiff got an A in the course and everybody else in the class got an A. She is suing for her tuition, for her expenses in connection with the course, and for damages, but she wants to keep the credit and the grade, because, in this case, it makes a difference in her pay scale.

I believe this whole area of accreditation, eligibility, and consumer protection is one of the areas in which there are a tremendous number of canaries. The problems of eligibility are not solved. It's quite clear that the old order has changed and I think we're in a situation where probably there are three factors that are going to have to be equally taken into account in the eligibility picture. And one of them rests directly with the states and the states' assumption of their responsibilities in licensing, chartering, and regulating. The second, which I hope does not disappear, is private accreditation. I think it's very important and it is critical that the accrediting groups and the state agencies work together. And the third, whether we like it or not--and here come the federal canaries--is a continued involvement of FTC and other federal agencies one way or another. And don't think I'm just dreaming this up. The Orlans report recommends that the FTC rule be applied to all higher educational institutions. Can you imagine the University of Illinois having to account for every graduate in terms of the jobs that he has held, in terms of what his salary is, and to police itself so that no publication or recruiting officer from universities will make any reference to employment whatsoever unless this information is provided. And that's not just dreaming.

Without going to this extreme I think it is quite clear that in the new postsecondary education legislation of 1975 or 1976, there will be a section on consumer protection which will require at least certain basic types of information from the institutions to students. And if you doubt me, look at HR 3741, the new O'Hara Title IV bill. There is a very interesting section, and not a wholly unreasonable section, at the end of that bill which, even though I suspect Mr. O'Hara's proposal on student aid will get rather radically changed by the time the bill comes out, I'd be willing to bet that the section on consumer protection will still be in there and I think it will affect everyone of you from the standpoints of planning, information gathering, and even regulatory oversight.

Thank you.

FOURTH MODULE

"PROBLEMS CLINIC – WHERE DO WE TURN FOR HELP"

by

Panel of Representatives
from National Resource Organizations:

Lee Noel, Regional Vice President
American College Testing Program
Iowa City, Iowa

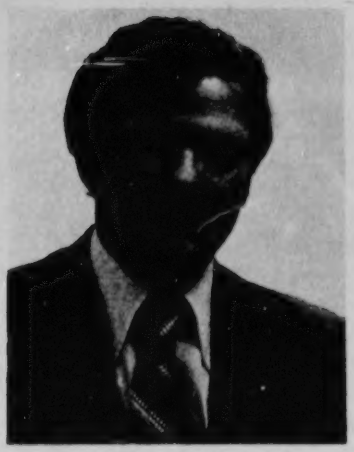
E. F. "Tex" Schietinger
Director of Research
Southern Regional Education Board
Atlanta, Georgia

Stephen H. Ivens, Assistant Director
Southern Regional Office
College Entrance Examination Board
Atlanta, Georgia

Jane Lichtman, Director, NEXUS
American Association for Higher Education
Washington, D.C.

Jonathan D. Fife, Associate Director
ERIC Higher Education Commission
Washington, D.C.

Albert Crambert, Assistant Commissioner
U.S. Office of Education, Region III
Philadelphia, Pennsylvania



Lee Noel
Regional Vice President
American College Testing Program
Iowa City, Iowa

What does ACT look like on its 16th birthday? Just as in 1959, our goal is to *serve students*, at various ages, as they make their educational plans and decisions. But over the years we have also found new ways to *assist high schools, postsecondary institutions, and educational agencies* in their planning and decision making.

As education needs have changed, *ACT has changed.* We have become much more than "a testing organization." We have developed into a small, but complex, organization that provides a wide range of services to a great diversity of users. Major activities with which ACT is involved include:

1. The ACT Assessment Program--a guidance-oriented assessment program taken by approximately one million students to attend more than 2,500 colleges.

2. ACT Student Assistance Program--The ACT Student Need Analysis Service is designed to assist students (400,000 plus, annually) and aid administrators in applying for and awarding financial aid for post-secondary education.

3. Contract Services-Governmental (State & Federal) and Educational Agencies--ACT has recently been awarded contracts for the development and/or administration of systems for such programs as:

   - Basic Educational Opportunity Grant (BEOG) Program for USOE/HEW.

   - Medical College Admissions Test (MCAT) for the Association of American Medical Colleges.

- State scholarship programs in Idaho, Iowa, Illinois, Kansas, Michigan, Minnesota, Nebraska, and Vermont.

- Statewide Career Guidance and Educational Planning Program for all high school juniors in South Carolina.

- Statewide Survey of high school seniors in Tennessee to determine their educational plans and their financial needs.

In short, ACT, a private, nonprofit organization, has built a vast array of services and expertise which are available to address a variety of educational needs. Through providing customized responses to specific needs, ACT has acquired a national reputation.

E. F. "Tex" Schietinger
Director of Research
Southern Regional Education Board
Atlanta, Georgia

Through the Southern Regional Education Board--the nation's first interstate compact for higher education--educators, government officials, and others work together to advance postsecondary education and, in so doing, to improve the social and economic life of the South.

Working directly with state governments, academic institutions and other concerned agencies, SREB researches and reports on needs, problems and developments in higher education; conducts cooperative programs to upgrade training in the undergraduate, professional, and technical sectors; and serves as fiscal agent and administrator in interstate arrangements for regional educational services.

Membership on the Board consists of the governor of each state and four other persons, one of whom must be a state legislator and one, an educator. Its current chairman is David H. Pryor, Governor of Arkansas. The staff is headed by Winfred L. Godwin, President.

Stephen H. Ivens
Assistant Director
Southern Regional Office
College Entrance Examination Bd.
Atlanta, Georgia

The College Entrance Examination Board is a nonprofit membership organization that provides tests and other educational services for students, schools, and colleges. The membership is composed of more than 2,000 colleges, schools, school systems, and educational associations.

Through participation in testing programs like the Admissions Testing Program (ATP) and the Preliminary Scholastic Aptitude Test/National Merit Scholarship Qualifying Test (PSAT/NMSQT), the College Board has available a data base on over one million graduating high school students each year. This data base is made available to institutions through the Student Search Service to assist them in enrollment projections, market research, student recruitment, and so forth.

Additionally, the staff of the College Board conduct specialized studies under contract for institutions, systems, and states. These studies typically concentrate on the transition of students from secondary school to postsecondary opportunity. Studies of student flow, plans and aspirations, career choice, and financial aid availability are among the activities carried out by the College Board upon request.

In summary, the College Board has a wealth of data and expertise available for use by the educational community, and I encourage each of you to communicate with us directly.

Jane Lichtman
Director, NEXUS
American Association for
Higher Education
Washington, D.C.

When a teacher wants to develop a new course or program, to whom does he or she turn for tips on what works and what doesn't? NEXUS was set up to fill the gap between people who know--experienced practitioners--and those who have an idea that sounds good, but no experience in how well it works.

A program of the American Association for Higher Education (AAHE), NEXUS links people with questions about post-secondary education programs--where to find them, how to start or improve them, how to evaluate them--with experienced persons. A few sample inquiries:

- "Who else has developed effective programs to assist Chicano students to read at the twelfth grade level?" a faculty member wants to know;

- "Who knows how I can set up an insurance program to cover video-tape equipment which is shared among several institutions?" a university business officer wants to know;

- A legislative staff person asks, "Who can help me evaluate whether bilingual teacher training programs have been effective?"

NEXUS has responded to these questions with the names of individuals who can lend advice based on concrete experience developing similar programs. That advice may mean greater cost efficiency or it may mean not undertaking a program shown to be impractical.

In the year and a half since NEXUS has been in operation, it has assisted 2,340 inquirers. (Inquirers ask an average of two questions each.) Of these:

- 52% are administrators and staff at colleges and universities;

- 15% are faculty members;

- 15% are students, prospective students, and parents; and,

- 18% are officials and staff of local, state, and federal agencies, foundation and media personnel.

Since NEXUS began operations, the number of callers has increased steadily. This is shown, as follows:

January-June 1974	468
July-December 1974	721
January-June 1975	1151
Total (as of 6/30/75)	2340

In working toward its goal to provide prompt service, NEXUS responds within forty-eight hours to 70% of the calls it receives. At the same time, 90% of NEXUS users indicate satisfaction with its services. A more in-depth evaluation of the program is being undertaken by an external evaluator. This evaluation will be completed in late September, 1975.

Jonathan D. Fife
Associate Director
ERIC Higher Education Commission
Washington, D.C.

The Educational Resources Information Center (ERIC) Clearinghouse on Higher Education at The George Washington University is one of the sixteen ERIC Clearinghouses that cover the spectrum of education. Each Clearinghouse is responsible for a given educational level or field of study. Taken together, they form a diverse information network set up to serve the needs of the educational community.

The Higher Education Clearinghouse is responsible for the collection and dissemination of educational information in the field of higher education. For the purposes of the ERIC system, higher education is defined as education beyond the secondary level that leads to a two- or four-year degree, master's degree, or professional degree and includes courses and programs designed to enhance or update skills obtained in these degree programs. The scope of coverage does not include counseling and personnel services, junior and community colleges, and the education of teachers since these are areas designated to other ERIC Clearinghouses.

The three main objectives of the Clearinghouse are:

- To acquire, select, abstract, and index documents that pertain to higher education. These documents are included in the ERIC microfiche collection (available at nearly 600 major libraries) and are referenced in the monthly bibliographical journal, Resources in Education.

- To index and annotate journal articles that pertain to higher education for the monthly journal, Current Index to Journals in Education.

- To publish interpretive summaries and selected bibliographies on current issues in higher education.

The success of the Clearinghouse is dependent upon two objectives: the ability to quickly identify, collect, and cite documents pertaining to higher education and to maximize the use of these documents. In order to achieve the first objective, the Clearinghouse actively solicits documents from all organizations or persons who are writing in the field of higher education. The Clearinghouse has given attention to the reports, master plans, and research produced through the state higher education departments. It is hoped that the states as well as all organizations concerned with higher education will send to the Clearinghouse any publication that they feel would be of interest to others working in similar areas.

To achieve the second objective, maximizing the use of the ERIC data base, the Clearinghouse has developed a computer-generated bibliographic service. Individuals submit to the Clearinghouse a statement of their research problem and, for a small fee, the Clearinghouse generates a printout bibliography of all the materials related to this topic that have been cited in Resources in Education and Current Index to Journals in Education. The bibliography contains all necessary bibliographic information and a full abstract describing the document. Most of the documents that appear in Resources in Education are available from the ERIC Document Reproduction Service in xerographic or microfiche form.

Because the Clearinghouse handles more documents concerned with higher education than any other organization in the country and because it has established linkages with the many other major organizations and clearinghouse concerned with higher education, the ERIC Clearinghouse on Higher Education is a unique resource of information for those persons who are seeking answers to problems.

The Clearinghouse welcomes inquiries and has a staff of higher education specialists to work with individuals with special concerns. It is hoped that more and more people in the higher education community will turn to information centers such as the ERIC Clearinghouse system in order to form a more rational base for decision- and policymaking.

Albert Crambert
Assistant Commissioner
U. S. Office of Education
Region III
Philadelphia, Pennsylvania

Our office, Region III, is one of the ten Regional Offices of Education which are field arms of the U. S. Office of Education. Regional offices are located in Boston, New York, Philadelphia, Atlanta, Chicago, Dallas, Kansas City, Denver, San Francisco, and Seattle, each serving a particular set of States. Approximately 30% of all Office of Education staff are located in the regional offices.

Regional Offices of Education exercise two general types of responsibility. On one hand, they have delegated administrative responsibilities in certain programs. In postsecondary education, for example, the regional offices have specific authorities in student aid programs, the Higher Education facilities program, the TRIO programs, and the Guaranteed Student Loan program. On the other hand, regional offices have a general responsibility to provide assistance to persons within their regions in any of the programs of the Education Division of HEW.

The particular situation of the Regional Offices provides a number of advantages:

1. The regional offices usually are more conveniently geographically located.

2. Regional office staff members tend to have a more generalist point of view than is possible for central office staff members who usually work only within a single program.

3. Because they concentrate on a limited geographic area, regional office staff members are more likely to be aware of conditions and current developments

in local areas within their region.

4. Regional staff have a broad network of contacts within the central office.

5. Most (but not all) major areas of education are represented in the regional office, so regional office staff can sometimes help to "bridge" various areas of education.

6. The regional office setting also provides convenient linkages to other HEW agencies such as Health, and to other Departments such as Labor and HUD whose programs impact on education.

I would like to suggest several specific services which Regional Offices of Education can provide to the postsecondary education clientele within their regions, in addition to the administration of programs under our direct responsibility:

1. Regional offices have access to statistical reports and other key documents.

2. Many regional offices maintain the ERIC microfiche collection.

3. Regional office staff can provide general reactions and advice at early stages in the preparation of applications to centralized OE programs.

4. Within the limits of staff time and travel funds, regional staff will participate as resource persons, panelists, speakers, etc., at meetings such as this one. We welcome opportunities to explain Federal education programs and our own activities to significant audiences.

It was a pleasure to be with you this afternoon.

John Porter, Executive Director
Alabama Commission on Higher Education

Patrick McCarthy, Chancellor
State Board of Higher Education
Massachusetts

FIFTH MODULE

"STATE AGENCY RELATIONSHIPS"

STATE AGENCY RELATIONSHIPS

by Patrick McCarthy

I've worked in public life or in government, on one side or the other, for about fifteen years or most all of my adult life. I've worked at various levels. Although I'm a city planner by training, I'm kind of a renegade. I've worked for mayors; I've worked for the U. N. with the Secretary General; I've worked for governors, against governors, beside governors, even behind governors. I've also worked for lay boards.

While sitting in my room, I thought about this past of mine, wondering whether a common thread ran through my experiences and interrelationships with the various governmental activities.

Before I share my conclusions, however, let me make ground rules so we are all thinking and talking about the same things. First, when I talk about an agency like a coordinating board or a governing board, there really isn't very much that is like it. The important characteristics are (1) its limited powers, usually stated in some kind of legislation or administrative ruling; (2) its non-political base, in the sense that it doesn't have a constituency; and (3) its restricted clientele, in the political relationship it can have to larger power politics. As officials in these agencies, we, by our nature, tend to be administrators or public managers of bureaucrats rather than politicians. Now that doesn't mean we all operate that way. Some people in this game are pretty good politicians on the side, but they do it without a base and they do it at great peril.

Last night when thinking about it, I thought, "Well, there isn't any right or wrong, I can't give some rules for how to operate with other agencies that are universally applicable, but what I can and would like to share are some observations about the nature and the character of the political exercise."

Let me begin by making one overriding comment! The world in which activities take place, the continuum sort of administrative political world and the basic character of agency relationships in this world will appear over any period of time to be kaleidoscopic rather than episodic. Now what do I mean by that? Well, subject to dramatic and rapid changes with respect to the relationships of one party,

one group, one set of individuals, even one set of goals and objectives, changes can be examined on an almost input-output model. They change across the board. For instance, if the governorship changes, then there are shifts back and forth, up and down, and all over on the surface. But still, most things are still in place and much the same in reality. It is really like turning one of these kaleidoscopes around and getting a new pattern of colored glasses. If you know this, then you begin to know there are some fields of predictability within the world of governmental or interagency relationships which remain the same and you act accordingly. This is where you will find the guidepost to your own continued progress in the direction to whatever your undertaking is or to whatever you are trying to accomplish.

The second point I would like to make is that the best kind of relationships are symbiotic relationships. I worked my way through graduate school by opening a small business that I bought from a sage-old guy. I told him I'd never been in business before and asked for any advice he could give. He said, "Well, the best advice I can give you is that in a good business deal, both people make out." And that really is what a symbiosis is in public life and in nature. You really should deal with people on the basis of not only what they can do for you, but what you can do for them. If you don't think creatively about it, they will ask you for things you really can't do for them, you won't do it very well, and it will be a one-way street.

Sometimes we tend to bind ourselves with our own nomenclature, but for the purpose of conversation and perhaps argument, I wish to lay out the following case of characters in the political process. There are the agencies or institutional constituents in education, the universities and colleges. Among the entities we must deal with, and hopefully together with, are the political agencies, including the executive branch of government. The executive exhibits all sorts of characteristics. I never had the tremendous luxury of having a governor who was totally for higher education and I've had three governors. I know there have been governors for higher education; I've read about them! I have known governors who knew it existed but were neutral; and I've known governors who were against higher education. All three experiences are exciting and produce different kinds of problems and different kinds of opportunities too, if you suffer from masochism.

The second political group is the legislature. Oddly enough, the legislature is also a non-political group in the sense that it is a group of people who, in some cases, have greater continuity than either the governor or the professional staffs of the agencies. At times, some of the

legislators have been around longer than the bright young people who are trying to make policy for the state and some of them are very well-founded in their own set of goals and objectives. The last political group is the judiciary, which includes the attorney general's operation. That's a very useful agency relationship. Now, let's go back and discuss these groups and relationships.

Institutional relationships: If you're going to start dealing with "major," "complex," "sophisticated," "rapidly changing," "dynamic," institutions, you must understand they believe they are unique in both their psyche and their complex management patterns. If you're going to deal with them, you must be able to have real empathy for the problems and opportunities by which they are driven and to which they are attracted. This takes some real thinking. You cannot go at your institutions from a totally external basis. In my brief career, I have seen people attack the institutions from the business point of view. They want to make them "business-like." I have seen people attack them from political points of view; they've matched that. I've seen superimposed bureaucratic draperies and shrouds over institutions. I've seen them dolled up in gawdy management angles. All these things have either worked or not worked--not because of what sort of business people were trying to do, but whether or not the relationship, or the inference of a relationship with the institution, was a two-way street. It depends upon whether or not you were really prepared to adjust what you were carrying to the institution to fit some of their aspirations and some of their patterns to your methodology. If you went in with that sort of attitude, a lot of good management design is possible and it takes place.

Executive: Let us now look at the executive. You have a number of problems with the governor's office. The worst problem you could have is that he is completely unaware that you're there. In the case of the governor, you must begin to make him aware that you represent some kind of important central resource for his part of the political game in the state as well as your own, even if you don't win his love. This means that you must think creatively. You must anticipate the things he is probably going to expect from you sometime in the future and have them ready for him. It also means you must stay out of his political way. It is very easy for the governor to pick out an educational person or and educational institution to run against. And, in the long run, we don't do very well against governors. I could pretty well guarantee that any governor who wants to focus and concentrate his political activity on any single part of higher education is going to win. All we have to do is look from California back closer to home to discover these things.

Legislative: The legislature is a different matter. What are the expectations of the legislature and how do we deal with the legislature? Well, I look at the legislature, as a whole, as having a consciousness approximately at the level of the general public. Deal with the total legislature in that sense in terms of what you do for them and how you do business with them. However, the various committees of the legislature (and different states are organized in a different fashion) manifest a very different character for the legislature. Joint education committees, for instance, tend to expect that the people in agencies (whether they be the head of the agency or the people who work for the agencies) will be resource persons and public spokesmen for both the positive and negative positions on issues that are being argued. They expect you to be there, provide answers, and do the kind of home work that their staffs generally are not able to. Now, one of the curious things that has happened in the last few years is that the legislative committees are getting pretty good staffs. They are not numerous, there are not a whole lot of people on them, but they're bright, intelligent, hardworking, and creative people. Anybody who thinks he can deal with the legislative committees in this day and age without giving them sophisticated answers to sophisticated questions, is in for a very unpleasant surprise. However, if you approach the legislature with your best presentation of both the neutral and the loaded facts, (And let's not kid ourselves, we load our facts when we can!) you'll find the legislature will look upon you (perhaps not with love) at least with respect and that's the beginning of the relationship. The other committees in the legislature are the ones that deal directly with finance and as a rule, really don't want you making a public spectacle about the issues. They want you to be truthful with them--that is, truthful in a way you may not have been in the past. One of the things we've done in higher education in the past is develop almost on a pencil line certain kinds of freedoms and attitudes. These have made possible the building up of this huge higher education enterprise we have. The components of this are namely academic freedom on which you shouldn't give ground on any condition. A second set of freedoms on which I am now being called in to question by the old accountability issue is fiscal freedom and it runs all the way from fiscal flexibilities through a total fiscal autonomy. I firmly believe it would not have been possible to build the institutions we have had we not had full academic freedom and fiscal freedom.

But I believe the money we are looking for in the future is not going to be available to us unless we're able to add an accountability function to our fiscal freedom. So, relationships with the fiscal part of the legislature will really depend very strongly on your ability to develop credibility

with respect to what you want and how you use the money once you get it. You must be increasingly susceptible to any kind of pressure which comes from scandal, misuse, poor judgment, or any of the other public expenditure problems agencies have suffered in the past.

Judicial: Now why do I mention the courts? Well, I believe the basic unwritten contract on which higher education depends in its dealings with both the general public and the world is really very much like the American Constitution. It's a simplistic agreement which develops by the courts' interpretations. We know it has developed in the civil liberties arenas through interpretations from the courts, but it is going to increasingly develop on the side of the fiscal freedom and the right to do what you want to do, when you want to do it, or the right not to do it as well. When we go into the seventies and eighties in higher education, which means depending upon the current age groups and having to face the difficult issue of cutting back, cutting back and still keeping the educational enterprise viable, will make the quotes terribly, terribly important. The attorney general opinions and the court opinions probably will make the difference in whether or not higher education is cut to pieces through attacks on tenure, attacks on faculty status, and attacks on the rights to offer programs. Consequently, I underline your relationships with the courts as being terribly, terribly important.

There is a whole set of other interagency relationships which I call dual relationships, and these are relationships with the active agencies with which you do business such as the administrative and budget agencies, the agencies responsible for statistics or demography, the agencies that are doing business or passing judgment on licensing, and so forth. You should, as agency people, establish two kinds of relationships. First, there should be good, honest, open relationships at the top and there should be some kind of regular communication whether it be in writing or in person. Secondly, you should encourage second and third echelon people to develop informal relationships because more business is done at the formal level. If you wait for a piece of paper to pass through the regular chain of command, nothing ever happens. If you have somebody who can call up Henry or Joe or Peter and they can swap information at that level, your effectiveness will be enhanced tremendously. I think you should be aware that it is terribly important to make friends at all levels within other agencies. By making friends, I don't simply mean setting up a "buddy" relationship. I mean bringing in people from those outside agencies to work with you on joint projects or cooperative projects.

In turn, you should send your people out to work in other agencies so they know what happens there too. This is best done by borrowing and lending people on an informal basis as sort of an inservice, informal education arrangement.

Let me say two final things. One is that logic is always the best basis on which to carry out your business. But remember, logic is almost always defeated by a motion and a motion is almost always defeated by politics. So, one of the things you must do is to work very diligently upon the environment to keep the argument and conversation in the area of logic. You will not always be able to do that and there are two factors that are ideal. One is champion a cause that is clearly understood, for you then stand at least a 50% chance of winning. If you enter into a conversation where you are fighting for a cause and the other side is simply fighting for power, you are going to lose. The second thing I want to cover is that you must be very careful to see such power situations coming down the road. They come from strange places. They come at what I call the episodic periods of development of state government, at beginnings of new legislative sessions, at the ends of legislative sessions when reorganization is in the air, or at a time when a new governor is coming into office. These are the times that you will want to be very careful that you state the logic of your argument and don't assume that it is known. If you don't state it, you will end up in an emotional contest which will then turn political and you will eventually be the loser. I haven't ever seen a group of public administrators beat really good politicians.

Thank you.

STATE AGENCY RELATIONSHIPS: INCESTUOUS, INTERNECINE AND OTHERWISE

by John Porter

In order to determine the range and variety of relationships that state agencies should have, one must first make some important assumptions about the goals of the agency and other aspects of its operations.

It is commonly accepted that the primary goal of coordinating agencies, such as those we are considering, is long-range planning for a system of postsecondary education within a state. Planning, of course, becomes an exercise in futility if there are no means for implementing these plans and appraising progress towards acceptance of plans and achievement of the goals.

There exists among the states a wide variety of means for implementing plans. These range from total control by a state agency to a position of limited power--essentially that of persuasion in some states. I would argue that no matter how much absolute power a given agency possesses, it can best carry out its operations through persuasive logic, relying on exercise of power only when logic fails and emotion and political maneuvering begin to prevail.

I have given these remarks a descriptive phrase "State Agency Relationships - Incestuous, Internecine and Otherwise." I did this to emphasize the positive aspects of the "otherwise" and to dramatize the dangers of the "incestuous" and "internecine" relationships.

In discussing the various relationships, it must be recognized that although planning is the primary objective, there are other functions that agencies must perform. One of the most important is to provide the various elements of constituency with accurate, objective information in a timely fashion. The satisfaction of this goal will enormously enhance the credibility of the agency and hence, strengthen its position in the process of logical persuasion.

One can analyze in several ways the type of agencies with whom relations must be established. Obviously, they can be characterized by the specific nature of the other agency or by the benefit that one wishes to achieve from a relationship with them. I have chosen to pursue the former approach. Agencies can be characterized in the most general

sense as public (government related), quasi-public (public or partially public supported but, selfgoverning), and private or independent (sometimes reflecting special interest groups). These three types can be further grouped accordingly as their domain is over the state, the region, or the nation. The following table describes the relationships as follows:

	Public	Quasi-Public	Private
State	A	B	C
Region	D	E	F
Nation	G	H	I

A third dimension could be added to the table indicating the primary or secondary nature of the relationship as it relates to (1) the process of planning and implementation thereof or (2) a source of information for a recipient of information. Essentially A, state public relationships, are primary for our discussion and all others secondary, therefore, I will not further complicate the diagram by adding a third dimension.

A. State - Public Agencies

It is in this category that the most important relations -- the agencies' relationship with the postsecondary institutions and with the legislature--fall. It has often been said that state coordinating boards live in a no man's land between the legislature and the institutions--that, in so doing, they are playing a "no win" game, for to "win" with one side is to "lose" with the other. The agency must develop a position that is respected by both the institutions and the legislature to insure that no matter how unpopular a position the agency takes, it is received with respect for its objectivity and honesty as it relates to the state's needs.

Although this "no man's land" existence very accurately describes the situation in most instances, it implies an adversarial relationship between the agencies and the institutions and the agencies and the legislature. I would suggest that the better position should not be one implying an adversarial nature, but more like a "menage a trois" or a three-side love affair. Although it is very difficult to maintain, such a delicate balance is possible, respecting

the individuality of each element of the relationship and working toward a common good.

While on this romantic theme, it is here that the dangers of incestuous relationships must be mentioned. An incestuous relationship is one between parties related by a degree forbidden by custom or law. This is another way of saying that the state coordinating agency must reflect the needs of the state as indicated by institutional needs, but should not be simultaneously viewed by the legislature as being the lackey of the institutions individually and/or collectively. The same reasoning obviously holds for the converse relationship with the legislature, as it would affect the esteem with which the agency is held in the eyes of the institution subsequently, the cooperation and support that the institutions would provide.

The often overlooked relationship in the state level analysis of the agencies' relationships is the one which is probably most obvious--with the executive office. State coordinating agencies can provide much information and service to the executive office and clearly the agency must be the source to whom the executive office turns for assistance on matters relating to postsecondary education in the state.

Thus, if we return reluctantly to the "no man's land" analogy, it must be extended in dimension--the agency exists in the center of an equilateral triangle--equidistant from the three corners represented by the executive, legislative, and institutional interests. There is not much room to wiggle. To deviate towards one corner is to move further from the others and hence, to lose the respect, support, or influence as the case may be with the other two elements.

The three previous public relationships at the state level are obviously of primary importance. All others are, in essence, of a secondary nature. For your consideration, I will simply list a number of state level public relationships which will be valuable:

(1) State board of education (i.e., elementary/secondary public schools), (2) attorney general's office, (3) licensing and accrediting board, (4) state development office (state planning board), (5) archives and history, (6) regional planning offices, (7) public health department, (8) consumer protection office, and (9) public television system.

B. State Level - Quasi-Public Agencies

At the state level, there exist few quasi-public agencies other than postsecondary education consortia. A close relationship with these consortia can be very helpful for planning purposes, particularly since they provide one of the best means for promoting cooperative ventures between the private and public sectors.

C. State Level - Individual or Private Groups

There are a number of such agencies with whom a cooperative relationship will be beneficial. Again, I will list some of these for your consideration: (1) State NEA affiliate, (2) bar association, (3) medical association, (4) citizens special interest group relating to education, (5) chamber of commerce, (6) organized labor, and (7) media.

D. Regional - Public

In the regional area, there are obviously no public agencies.

E. Regional - Quasi-Public

Of the quasi-public, the agencies for regional compacts are extremely important. By this, of course, I mean SREB, WICHE, etc. I could dwell at great length over the benefits of the SREB relationship, but time does not permit and many of you are members of SREB or a similar agency in your region. For planning purposes, regional agencies can provide comparative data on almost any subject far faster than can the national or federal agencies. They also provide a valuable means for the sharing of programs and facilities among the member states. The sharing of programs either through contract relations or through a no-cost means such as SREB's Academic Common Market has potential benefits that are just now being felt in reducing the pressures for the creation of expensive programs in every state.

F. Regional - Private or Individual

The most important and perhaps only relationship here is with the regional accrediting agency. Since Dr. Millard has already spoken on this point, I will not pursue it other than to emphasize that it is an extremely important, and sometimes delicate, one.

G. National - Public

At the national level, the Office of Education is the obvious primary agency with which relations are established. The breadth and depth of the relationships will depend, on a large measure, on those federal functions that the individual state agency has been assigned. There are many other agencies that can aid a state coordinating agency in its planning and research including NSF, NIH, Department of Labor, Department of Commerce, and others. The congressional delegation is of extreme importance, as are the various committees and their professional staffs.

H. National - Quasi-Public

On the quasi-public organizations at the national level, ECS, the co-sponsor of this project, is the preeminent organization. The value of this organization and the importance of individual relations is self-evident and cannot be too strongly emphasized. I would encourage all of you who have not benefited from the resources of ECS to do so to the fullest extent.

I. National - Private

Although SHEEO is basically private in nature, with its close relationship to ECS, it is almost in the quasi-public category. Most of what I have said about ECS applies equally to SHEEO. Because of its private or individual aspects, it has certain advantages and opportunities not available to ECS and I would likewise encourage you to strengthen your relationship with SHEEO.

There are a whole host of national organizations that are strictly private in the same context that I have been using it up to now. Most of these are located at One Dupont Circle and the list is headed up by ACE, but includes all organizations representing the various types and categories of institutions, disciplines, and professions. Relationships with these agencies will be occasional rather than frequent and the most important aspect of relationships with these agencies is the detailed knowledge of who they are and what services and information they can provide.

Now, another note of warning--beware of internecine relationships--those that can be mutually destructive--this, of course, is almost the opposite of the incestuous note mentioned above. The temptation may arise--perhaps all too frequently--to become involved in a dispute or conflict with an agency, particularly at the state level, whose relationship

is basically secondary in nature; the consequences of this, however, can seriously jeopardize your primary state relationships. These differences can frequently be unavoided, but if entered into, it should be with the conviction that such is necessary for the accomplishment of the primary goals--planning for the best system of postsecondary education possible in the state and the implementation of those plans.

SIXTH MODULE

"DEALING WITH DWINDLING RESOURCES"

by
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DEALING WITH DWINDLING RESOURCES

The title assigned to the module of this in-service workshop for state-level staff in postsecondary education for which this paper is to be a discussion base, effectively poses one side of the survival struggle that operating postsecondary educational institutions are facing today and likely will face for some time to come. Ways for "dealing with dwindling resources" need to be found if these institutions are to continue to exist as we now know them; but it is not just the dwindling of new resources that represents the challenge of the times. Other factors add to create the crisis of survival now becoming a subject of considerable attention and study. Since this paper is to deal with an emerging response that some postsecondary educators are directing toward the crisis, that is, regionalism and regionalization, a brief review of the several factors contributing to the survival concerns of a growing list of postsecondary institutions of different types (schools, colleges, and universities) can serve as a useful introduction.

The Crisis of Survival

Knowledge that colleges and universities today are wrestling with conditions quite different from those of the fabulous 50s and strident 60s and that new responses are needed is spreading beyond the interests of the educators directly involved. It is of such seriousness as to attract the notice of the public press as well. Last week the Pittsburgh Gazette carried a three-part series on the subject and detailed in considerable length how different colleges and universities were establishing new practices to handle their growing difficulties.[1] When Cheit produced his volume The New Depression in Higher Education,[2] many believed that only the privately controlled institutions were in trouble because they lacked the backstop support of a public constituency. But continuing observations made clear that the trials ahead were to be faced by postsecondary institutions

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[1] Pittsburgh Gazette, May 13-15, 1975

[2] E. F. Cheit, The New Depression in Higher Education. New York: McGraw-Hill, 1971.

in general because all would be affected by the "End of College Boom."[3]

Volumes have been and are being written on the nature and causes of the crisis that are forcing change in post-secondary education; there is no need to review them in detail for workshop participants here. Note needs to be taken, however, that the causes include more than just the prospects of a decline in growth--the cause given most attention in the literature of the day. In its analysis of "the problem" presented by the Board of Trustees of the Carnegie Foundation for the Advancement of Teaching, the "collegiate sector" of postsecondary education, that is, higher education, is described as, ". . . undergoing the greatest overall and long-run rate of decline in its growth pattern in all of its history,"[4] and suggests throughout its discussion that the difficulties flow predominately from that fact. Leslie and Miller similarly place primary focus on probable enrollment statistics as generating the conditions of "steady state" and the troublesome accommodations colleges will need to make during the last quarter of the century to adjust to it.[5]

There can be no doubt that the leveling off of the college-age population (18-21 year olds) will have serious and lasting impact on postsecondary educational institutions, especially colleges and universities. But there is more to cause concern than is evident in the population statistics alone. The foundation for the body of this paper must be that it speaks to the broad spectrum of causality of the crisis and it is essential, therefore, that at least two other forces be noted. One of these is basic, but clearly independent of the difficulties generated by the dropping college-age population; it is the softening status of advanced learning in the American society's value construct. The other is a derivative factor and relates to both the dropping college-age population and the apparent diminishing public esteem of a college education; it is the prospect of continuing decline in support, both material and psychic, that colleges can attract in the foreseeable future.

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[3]E. B. Fiske, "End of College Boom." The New York Times, November 11, 1974, p. 39.

[4]Carnegie Foundation for Advancement of Teaching, More Than Survival: Prospects for Higher Education in a Period of Uncertainty. San Francisco, Calif.: Jossey-Bass, 1975, p. 1

[5]L. L. Leslie and H. F. Miller, Jr., Higher Education and the Steady State. ERIC/Higher Education Research Report No. 4, Washington, D. C.: American Association for Higher Education, 1974.

Dropping Public Esteem

There are measures more direct and valid than public opinion polls by which one can judge the value attached to a given enterprise, but a reference to the polls can serve as a start. According to recent reports of the pollsters, education, in general, and higher education, in particular, are losing public favor.

But other evidence speaks as loudly as the polls. Among such evidence is the report from New York State that the proportion of college graduates going on to further education dropped this past year to reverse a consistent climb each year for over a decade. Also indicative is the increasing questioning, if not actually hostile, press being given these days to higher education. Consider, for example, the two feature stories in the influential editorial section of the Sunday Washington Post this past week. James O'Toole authored a lengthy article entitled suggestively, "Too Much Education for the Job." It ran prominently along with another by Bruce Johnson entitled "Degrees Without Jobs: Anxiety on One Campus."[6] And any higher educationists who would tend to downplay the significance of such press reports do so at their own peril, for many authors carry strong credentials. O'Toole is on the faculty of the Graduate School of Business, University of Southern California, and Johnson is a 1972 graduate of the University of Washington and a graduate student in journalism at the University of Minnesota.

Also to be viewed as evidence that higher education faces troubles beyond a simple possible diminution of enrollment is the rising tide of demand for a greater accountability from colleges and universities. Gubernatorial offices, legislatures, state-level boards and commissions--all are demanding longer and stronger reports from operating institutions that speak to their effectiveness, that is qualitative and quantitative attainment of their claims in instruction, public service and research; moreover, they ask also for evidence that institutions hold firmly to considerations of efficiency, that is wise and careful action to minimize resources used while seeking maximum effective achievement of their institutional goals.

Finally, one needs to see another emerging development as a form of public disenchantment with higher education as now typically known. It is the widening definition, expectation, and public acceptance of the concept. It is

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[1]James O'Toole, "Too Much Education for the Job" and Bruce Johnson "Degrees Without Jobs: Anxiety on One Campus," The Washington Post, Sunday, May 1, 1975.

extending not only beyond the old view of traditional colleges and universities to the broader one of postsecondary education now nearly made universal by the language of the Federal Higher Education Amendments of 1972, but even more widely to include any situation or structure which provides a component for the further education or training of the adult learner. The term "communiversity" recently has emerged in the literature with several meanings partially suggestive of its full impact given to it; some writers, this one included, see it becoming an ultimate coalition of all educational components,[7] and this can lead us to see some new possibilities in the rising interest in regionalism in the several states. Most of the evidentiary references in this paper relate to the "collegiate" sector of postsecondary education; that is (1) because so little data are available on the non-collegiate and (2) most discussions of sharing (i.e., consortia-regionalism) view the matter as essentially involving only public and private resources (CUPIR). The fact is that sharing and regionalism is coming to include much more--communiversity! This concept will be developed further in the concluding section of this paper.

Diminishing Fiscal Support

The opening paragraph of this paper placed emphasis on need to cope with dwindling new resources. This was deliberate to make more dramatic the point that as new resources for postsecondary education, in general, and for the collegiate sector especially, decrease, the pressure and absolute necessity for wise use of old, that is, existing, resources become simultaneously more obvious and more compelling to the future continuation of operations and maintenance of reasonable levels of quality.

Evidence of the decline in new resources to support college and university operations is clear and growing. Again, only minimal documentation of this point is needed here. The decline is in the rates of increase from earlier years; but clearly the "Golden Age" is past.

Sharpest insight with the import of the decline in support provided for higher education is seen in measures that relate it to the total civic enterprise at federal and state levels. According to the Carnegie Foundation for the Advancement of Teaching, "The percentage of the GNP spent on higher education (not including captial construction and

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[7] S. V. Martorana and Eileen Kuhns, "Communiversity: New Challenge to the Community College." Accepted by Change Magazine for publication, Fall, 1975.

certain other accounts) doubled from 1960 to 1972--from 1.1 to 2.2 percent, but it fell to 2.1 percent by 1975."[8] And colleges and universities are not doing well in competing with other governmental services of the states either. Glenny and Kidder report that, nationwide, total state appropriations for institutions of higher education as a percentage of total state general revenue rose from 11.24 in 1963 to 14.66 in 1971, but fell to 14.26 in 1973.[9]

A + B + C = Crisis for Survival

That, then, is the more complete basis for sensing that higher education needs now more than ever to marshal its creative capabilities to save itself. The basic challenge is to higher education as an enterprise is to reestablish its historic and recently held public esteem. In their discussion of the parallels between higher education and other social enterprises which display the phenomenon of "transverse progression" in their growth patterns, Leslie and Miller ask and answer the critical question, "What is it that such systems must have in common to fit the transverse progression model? The functions performed by such a system must be essential to the total social system."[10] And later, they caution against an overly optimistic view of the future of colleges and universities, ". . . we have also tried to convey the notion that it is the higher education function, not specific kinds of institutions, that exhibits transverse progression."[11]

One can argue that higher education, as an essential social function, is secure, as indeed Leslie and Miller do, but if this is done in ways that in effect destroy the integrity of higher education as it has evolved in this country and now known, the question can be raised: Was it--higher education--really the essential function?" In other words, if the functions of instruction, research and public service are the critically essential functions and not their provision to the society by a coordinated, coherent system, these functions will exhibit transverse progression, not higher education. Indeed, the potential disintegration of

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[8]Carnegie Foundation for Advancement of Teaching, op. cit., p. 2.

[9]Lyman A. Glenny and James R. Kidder, State Tax Support of Higher Education: Revenue Appropriations Trends and Patterns. Berkeley, Calif.: Center for Research and Development in Higher Education, University of California, 1972, p. 17.

[10]Leslie and Miller, op. cit., p. 20

[11]Ibid., p. 49.

the academic enterprise (colleges, schools, universities) into a disparate array of instructional "delivery systems," separate research institutes, and various public service agencies has already been noted elsewhere.[12]

Higher education, if it is to survive intact, needs to reestablish its essential character as an integral societal function and to do this, it must respond not only to the lower enrollments, but to other expectations of the public as well. Among these expectations is a continued effectiveness with a greater efficiency. How to do this is, of course, the real and serious question.

If No (or Fewer) New Resources: The Old Must Do

One step to consider is to make the most of the resources at hand. The supporting constituencies expect this; if the colleges and universities react constructively to the expectation, some recapturing of public confidence can result. Beyond this public relations purpose, however, lies the stark fact that if the future prospect for higher education is a continuation of recent moves by public sources at all levels (federal, state, and local), as well as private constituencies, to slow down provisions of new support for higher education, colleges and universities must find ways and means to make the resources they already have stretch further. At first, this may create tensions and some new problems. In the long run, however, it may be found as enlightened action, for, as is now generally accepted in higher education throughout the country, some expansion is expected to occur into the early 80s, but relatively little growth after that for the rest of this century. If colleges and universities can "get over the hump," so to speak, the long run challenge will be to maximize use of existing resources which will be more than necessary if earlier norms of determining need are retained. That time may well be the golden era for improvement of the quality of postsecondary education as the 50s and 60s were for expanding the quantity of opportunity for many other thousands of persons at this level of study.

Let us look at the existing resources that we are talking about. Most obvious to the layman and typical state budget examiners view is the investment the American people have put into the capital plant for higher education.

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[12]For example, Eileen Kuhns and S. V. Martorana, "Of Time and Modules: The Organization of Instruction," Journal of Higher Education XLV, 6 June 1974, 430-440 and Ashby, Eric, "The Structure of Higher Education: A World View." AGB Reports 8 (May-June 1973).

According to a nationwide inventory conducted in the Fall of 1973, the 3,019 higher education institutions possessed an estimated 1.8 billion gross square feet of buildings to accommodate 7.4 million FTE students. Of the total gross area reported, approximately two-thirds was in public and one-third in private institutions. Of special interest to a concern that all good existing resources be used, if at all possible, and to the discussion of regionalism to follow in this paper, is the further statistic that a significantly higher proportion of the gross space reported by public institutions was less than satisfactory for use and needed renewal (25.3 percent) than was true for the private institutions (16.5 percent).[13] Again the questions most pertinent to the discussions in this paper are: Can all that space be put to good use in higher education? If so, how? If any is good and available but not used, waste may be evident; if such non-use exists when simultaneously alternative action toward new construction or renewal is undertaken at current inflated costs, waste becomes obvious! Logically and fairly, the same type of data can be cited and questions raised concerning the investments already made in the material that goes inside the buildings--library holdings, laboratory and shop equipment, and so on, but the point is clear, so need not be belabored.

The most essential as well as most costly resource available for higher education, however, must not be passed over; it is the faculty and supporting personnel to the instruction, research, and public service functions of higher education. Over a million professionals (faculty and other professional staff) and more than 600,000 full-time faculty are in the collegiate sector to secure the more than 10 million students enrolled. Again, roughly a third of these are in privately controlled institutions.[14] According to the AAUP, 14.5 billion dollars of institutional revenues in 1971-72 flowed to faculty for compensation and another 11.5 billion flowed to other staff for compensation and to supplies.[15]

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[13]Higher Education Comprehensive Planning Program, Inventory of Physical Facilities in Institutions of Higher Education, Building Survey, Fall, 1973. Raleigh, North Carolina: Higher Education Facilities Services, Inc., June 1974, pp. 2-3.

[14]American Council on Education, A Fact Book on Higher Education, Institutions, Faculty and Staff, Students, Third Issue, 1974. Washington, D. C.: American Council on Education, 1974, pp. 74-127, 74-129.

[15]AAUP Bulletin, "Hard Times: Report on the Economic Status of the Profession," 60, 2, Summer, June 1974, p. 189.

Once again, we must ask, how can all this specialized talent be utilized for the betterment of society through higher education? Clearly, some new ways to manage resource allocations seems in order. Before turning to a discussion of regionalism as one approach, some of the dilemmas raised by any suggestion of a coordinated approach to resource allocation need to be mentioned.

Resource Use Coordination: Five Dilemmas and Two Spectre-Illusions

The general picture in higher education, then, is one in which for some time, existing rather than new resources will need to support the enterprise. New resources will likely continue to dwindle; perhaps even the acquisition of new fiscal support sufficient to maintain the existing resources of personnel and facilities will be difficult. If, then, more effective and efficient use of existing resources (personnel and material) may be a necessary and desirable response, some way is needed to decide what existing resources will be called upon to bear added burdens, what ones can continue to serve as now, and what ones, if any, are to be discarded as no longer defensible. In other words: What do we save and use to support higher education in the decades ahead and what do we throw away? And when the decisions are reached on the question, how can they be implemented?

In all fifty states, that is the question confronting persons who seek and are responsible for allocations of resources for higher education today. Ideally, it should be resolved with maximum preservation of what are the best and most needed resources with maximum conservation of scarce new resources, and very importantly, with maximum preservation (a) of the traditional values of higher education and (b) of the humane treatment of social organizations and of individual persons in them. Faced with such criteria, the task before resource use coordinators becomes formidable, indeed. Five dilemmas appear that so far have evaded satisfactory handling; space permits only a mere mention of each.

The first is the tradition in higher education of institutional autonomy. Since the resources available for education are held not by a single auspice in any state, but by at least two types of auspices, one publicly, the other privately maintained, whether the several auspices should come together voluntarily or be brought together by some official direction continues to be a "buzzlement" to all concerned. Getting the owners together, then, is a first essential, but very hard objective to attain. Should it be "on call" or by "spontaneous" convention?

Second, decisions need to be made, but how? Consensus, majority vote, edict? Each has its advantages but disadvantages, too. So far, no clear conclusion to support any one choice is at hand.

Third, decision implementation is awkward. Critical to this in any educational enterprise is the positive participation of faculty and supporting professional staff. In an age of expanding collective bargaining, this may be increasingly hard to get.

Fourth, what about staff needed to do the work of the resource allocators? Should it be of volunteers from operating segments of the enterprise and institutions or a corps of professionals autonomous and separately supported?

And fifth, resources (other than personnel just mentioned) are needed to support the function. Should some existing resources be diverted to this new function? Can this be done? Or, can and should a case be made for use of some of the scarce new resources to be used for this purpose?

Two Spectre-Illusions

Actually, there are two extremes to the position that can be taken on the foregoing questions. Each presents a kind of spectre-illusion that haunts many in higher education today and causes a quest for some workable, middle-ground view. On the one hand, there is the spectre-illusion of a heavy-handed officialdom taking over control of higher education and setting for it not only the resources it will use, but also the broad policies to govern it. On the other hand, there is spectre-illusion of the use of the "market model" to redistribute resources, and in the claim of advocates of this approach, to preserve the autonomy of institutions of advanced study.

Why are these possibilities labeled in this paper as spectre-illusions? Because NEITHER extreme position can present convincing evidence that it is the likely model for general adoption throughout the states. Proponents of the centralization of control as well as coordination of post-secondary education are confronted with the growing strength of the proprietary sector (which practically and by definition cannot be controlled integrally with the others); with the spreading federal and state practice of funding higher education through direct grants to students; and with the demands (sometimes successful) of faculties and administrations of campuses of collectivized systems for more autonomy in their operations. Note, for example, the recommendations of the recently released Governor's Commission on Education

in Maryland; it recommends autonomy from the system and separate constitutional boards of control for the several state colleges and for the Eastern Shore Campus of the University of Maryland.[16] Proponents of the "market model," chief among them Frank Newman, through the first and second reports to the Secretary of the U. S. Department of Health, Education, and Welfare[17], are faced with the fact that all but four states now have acted to establish a "1202 Commission" to carry on "comprehensive statewide planning" under provisions of Federal Public Law 92-318 (Higher Education Amendment of 1972), that several states in recent years have put all public higher education under statewide governing boards, and that officials of state government and the governors and legislatures are expressing yearly more interest in direct intervention into the conducts of higher education.

Regionalism in higher eduation is emerging evidently as a move toward a middle-ground position in state-level coordination and planning for higher education. It presents some interesting positive possibilities to escape both spectre-illusion of monolithic, centralized, statewide control and a mad market model. It suggests, moreover, the start toward manageable methods for resolving the five dilemmas to resource use allocation that were presented above.

Regionalism Within Statewide Planning

Just what are regionalism and regionalization and what is the status of development of these notions in higher education in this country? For the past year and a half, Gary McGuire, a research assistant, and I in the Center for the Study of Higher Education/Pennsylvania State University, have been probing this question. With the cooperation of the members of SHEEO the results of a nationwide study is now going to press and will be published by the Center for the Study of Higher Education/Pennsylvania State University. Time and space permits giving only some highlight findings here.

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[16] Governor's Study Commission on Structure and Governance of Education for Maryland. Final Report of the Governor's Commission on Education. Baltimore, Maryland: The Commission, 1975, pp. 26-27.

[17] Report on Higher Education. Washington, D. C.: Dept. of Health, Education, and Welfare, 1971 and The Second Newman Report: National Policy and Higher Education, Cambridge, Mass.: The MIT Press, 1975.

For purposes of our study, we define regionalism as that view of a geographic sub-section of a state (or of several adjoining states) which considers all (or a number) of the postsecondary educational components collectively and seeks to establish a coordinated relationship of their goals, programs, and/or resources. That is the idea, the concept; regionalization is then simply the acts or processes by which the concept is put into practice; the implementation of regionalism is regionalization. It is manifested, obviously in some form of interinstitutional, cooperative arrangement.

For purposes of our study, however, we attached another criterion for inclusion of interinstitutional arrangements into the counts of practice we wanted to describe; it was that the regional arrangement be one that was officially recognized by an authoritative agency in the state. This could be, naturally, the Governor or Legislature by executive action or statute, or a state-level coordinating or governing board responsible for postsecondary education in whole or in part in the state.

This matter of official recognition is important, for it is a way to separate the concept of regionalism as an aspect of statewide planning and coordination of postsecondary education from the more general phenomenon of consortia which are more typically ad hoc, voluntary, interinstitutional arrangements. These merit attention because (1) they are, in some sense, forerunners of regionalism, (2) because they are, in some cases, coming into the process of recognized, official regionalism, and (3) because they provide already some basis of experience from which officials considering regionalism can profit. Identification and preliminary examination of these consortia dates back now nearly twenty years,[18] but in recent years, the person most directly following this development is Lewis D. Patterson, headquartered in the AAHE. For several years, he has produced an annual count of formally organized consortiums. The 1975 count is 106. But, as he says, this is only a small glimpse of the interinstitutional connections emerging throughout the land:

> Numbers at best only tell a part of the cooperative movement. In the past two years new areas are receiving increased attention such as among community colleges, in continuing

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[18] S. V. Martorana, James Messersmith, and Lawrence Nelson, Cooperative Projects Among Colleges and Universities. Circular No. 649, U. S. Dept. of Health, Education, and Welfare, Washington, D. C.: GPO, 1961.

> education in medical and health programs, in military programs, in theology and in the arts. Two trends to observe in the future will be: the movement to state regionalization where it becomes increasingly difficult to distinguish between voluntary and statutory systems; and a broadening of the base of participation to include the full range of the postsecondary community and related community/regional agencies in cooperative arrangements.[19]

In passing, one should note for the record that the achievements of consortia to date are not very impressive. Franklin Patterson (no relation to Lew, I'm told) paints a dim view of their attainments as contrasted to their aspirations in a book-length treatment entitled Colleges in Consort: Institutional Cooperation through Consortia.[20]

But McGuire and I discovered much stronger interest and action in regionalism and regionalization than we expected to discover. Here only a few highlights from the study can be reported, for time and space are limited. The full report will be published by the Pennsylvania State University, Center for the Study of Higher Education.[21]

We discovered that regionalism and regionalization in the several states has progressed way beyond what we expected to find. Thirty-one states have embarked or are in advanced stages of study of regionalizing postsecondary education in their states. And these thirty-one states have forty-seven different patterns of regionalization than the number of states that were reporting because in some states there are two or more officially recognized plans. That may be surprising at the start, but on further examination, it is not surprising. For example, in New York State the Board of Regents has a plan officially recognized for regionalization of postsecondary education in public, private, and proprietary postsecondary educational resources; since the Regents is an official body, that plan obviously has an official status. Also in the state of New York,

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[19]Lewis D. Patterson, 1975 Consortium Directory, Washington, D. C.: AAHE, 1975, p. v.

[20]Franklin Patterson, Colleges in Consort, San Francisco, Calif.: Jossey-Bass, 1975.

[21]S. V. Martorana and Gary McGuire, Regionalism and Statewide Coordination of Postsecondary Education (A preliminary report of a continuing study). University Park, Penn.: Pennsylvania State University, Center for the Study of Higher Education (forthcoming).

however, the State University of New York, which is the state umbrella organization for public higher education outside of New York City, has a regionalization plan which it is seeking to effect. This also has an official status because it is under the aegis of the Board of Trustees of the State University of New York. One should emphasize there is some attempt at coordination going on between those two officially endorsed plans which is, as yet, rather amorphous; in the interim,the two plans for regionalization need to be recognized in any report that pretends to describe the status of the development of this new educational movement in the country at this time.

Seven states have moved into regionalization by virtue of an enabling statutory action. Now that is indicative, we think, of the seriousness by which this matter is being viewed in these states and it may be, again, an indication of things to come. In the other states it has come about as already indicated by administrative action of those agencies that have some authority of law behind them. More information about such topics as their staffing patterns, mechanisms for policy formation, and modes of financing are covered in the report. Most of the regional designs, as yet, do not have fully developed central coordinating or executive staffs. But a number of them do. All have some form or mechanism for arriving at policy and guiding operations, and all that survive, of course, must some way or another be financed. Together they suggest a portentous and fascinating possibility for a new era in American postsecondary education.

Conclusion

Several questions seem to flow from the results of the regionalism study that have quite direct import to the purposes and interest of this conference specifically and to the question of coordination of a state's enterprise in postsecondary education as an approach to conserving scarce resources while, hopefully improving public service in both effectiveness and efficiency terms. The questions bear broadly on the structure, programming, and staffing of postsecondary education as well as the way it is to be financed. They include also: Is this development--regionalism--a manifestation of what by some is coming to be termed "communiversity"[22] or "communiversity education"?[23] Simply

[22] Samuel B. Gould, Today's Academic Condition. New York: McGraw-Hill, 1971.

[23] S. V. Martorana and Eileen Kuhns, "Communiversity Education: A New Challenge to the Community College," Change (forthcoming).

put, this concept envisions a mechanism that will bring about, in a region, an organizational arrangement of all of the community-focused educational components that are present--public, private, industrially-based, those based in religious and cultural institutions and centers, and whatever else that exists can be interrelated into the educational service for a "Learning Society." So, I close with a reminder that if we are going to talk about dwindling resources, if "survival through sharing" is to be a viable concept, it will be necessary to recognize that the basic problem is not just dollars, but also recapturing public esteem. One of the questions the public is asking is: How well can we use the resources that are already at hand, regardless of whether these are public or private, in our direct control or not, or formally or informally identified with schools and colleges? The challenge in the question is whether postsecondary educational leadership can bring these all to bear in the public interest.

And finally, one must ask, is regionalism officially now and operationally perhaps soon coming to be recognized as the way of the future in statewide planning and coordination?

Senator Jeanette F. Reibman, Chairperson
Education Committee
Pennsylvania

Senator Hunter Andrews, Chairman
Education Committee
Virginia

SEVENTH MODULE

"PROBLEMS AND ISSUES RELATED TO
LEGISLATIVE PROCESS: THE STATE DIMENSION"

PROBLEMS AND ISSUES RELATED TO LEGISLATIVE PROCESS: THE STATE DIMENSION

Thank you, Mr. Bittenbender, and my fellow panelists.

It seems to me that some time ago, there was a show on the air for a long period of time called "Ev and Jerry." I'm beginning to think, Hunter, that due to the bulk of the panels we've been sharing, perhaps we ought to bill ourselves as "Jeanette and Hunter." And I guess since you've drawn second spot, you can react to what I am going to say!

I couldn't help but think of Moses when he was given the charge to cross the Red Sea--that of going into a land of milk and honey. You can't run a car on milk and honey, so I guess he should have turned left instead of right; then perhaps, Israel would have had all the oil today. This relates to our situation in Pennsylvania if any analogy can be drawn.

I guess Pennsylvania isn't unique in its problems concerning postsecondary education. I believe postsecondary education across the country is at an important juncture. Pennsylvania, like every other state, faces serious challenges in trying to make available the quality and quantity of postsecondary educational experiences every state would ideally wish to provide. We, like every other state, face serious problems concerning the financing and governance of postsecondary education. And I think there are some crucial answers to the question concerning, "What does it mean to be educated in the final quarter of the 20th century?" The importance of these answers should force every professional educator in these days of trade unionism to seriously examine them. I feel (and I'm an optimist) that we in Pennsylvania can meet our challenges because I believe we must. Furthermore, I think we can address the issues and problems, but not without some very important changes.

Across the nation, one college every month is closing its doors. We, here in Pennsylvania, have 191 degree-granting institutions. If our economic plight does not improve markedly and rapidly, and if our lower demographic projections for the traditional college population of 18 to 22 year old holds true, we, in Pennsylvania, will be closing doors too. However, I hasten to add it is <u>not</u> the case that postsecondary education, broadly construed, is about to

collapse. As organized religion continues to lose its ability to provide many people with a sense of personal meaning and yields ground to some sort of secular humanism and as rapidly increasing technological change creates simultaneously new vocational dislocation and opportunity, the outlook for postsecondary education does indeed brighten. People are turning and will increasingly turn to educational experiences and activity to give meaning to their lives. I believe people are turning and will continue to turn to education because vocational and economic reality will demand that they do so. These developments make the vision of a "learning society" more than just a mere platitude. This is particularly true when one reviews the incredible technological advances in the storage for processing and communication of information--ranging from computers to television, to cassettes, to the recently developed video discs. These video disks will allow many people to purchase at low cost televised broadcasts just as we now purchase the recordings of DeBussy, Gershwin, or rock and roll. Thus, the outlook for learning beyond high school is generally bright.

What we must do now is to find the right vessel on which to ride these waves toward the shores of the learning society. We must ask ourselves whether our current ways of financing, governing, structuring, and delivering postsecondary educational services, not only in this state, but across the country, are appropriate to this vital social and educational task. This means talking about institutions-schools and their relationship to the public interest. Specifically, this means talking about the relationship of postsecondary institutions to state governments . . . with those individuals in the legislative and executive branches who are authorized to <u>interpret</u> the public interest.

State level officials, like many other people, both in and out of the postsecondary educational community, are increasingly reluctant to equate the health of institutions with the health of education. Fewer people are willing to treat schools as ends in themselves. There is, I believe, a growing feeling that simply giving more money to postsecondary institutions <u>carte blanche</u> will not do the social and education job that needs to be done. In Pennsylvania, these feelings are growing--despite the proposed cutback in our grant program and despite last year's legislative grant of $12 million to private institutions in the form of institutional assistance grants. Also, it is true that the relatively lean proposed state budget (not only in Pennsylvania, but I dare say across the country) for postsecondary education is partially caused by state and national economic recession which require massive amounts of additional funding for welfare and public assistance.

However, I don't think we should let ourselves be fooled into viewing our present situation as a mere interlude caused by the current economic dislocation. I believe we are not in the mere interval between periods of rapid expansion of traditional services and populations. This is true not only because of shrinking traditional student population, but because new and legitimate demands are being made on public funds not being made a few years ago--demands, for example, to protect and restore the environment. Milton Friedman, the conservative economist at the University of Chicago, recently estimated that forty cents out of every dollar you and I earn goes to support the cost of government at the local, state, and national levels. While I think it is easy to underestimate the numerous valuable services rendered by government and while there are many additional public needs and injustices government should try to ameliorate, we have reached a plateau in the taxpayer's willingness to support additional programs.

Hence, the challenge--and I don't need to remind you that it's going to be a very difficult one--is to move closer to the learning society in an economically stagnant period where institutional retrenchment is more likely than expansion.

Maybe many of you are wondering why I have ignored the increasing numbers of adults who are taking courses at colleges and universities. It is true that a trend in this direction has prompted one of my legislative colleagues to suggest (wrongfully I hope!) that whereas branch campuses of large universities were the postsecondary institutional battleground of the sixties, adult education will be the battleground of the seventies. To the extent that institutions can attract and meet the needs of these older populations, I heartily support the trend, but a word of caution: While the <u>potential</u> adult education population is tremendous, the <u>actual</u> population willing to participate in formal classes may be considerably smaller! Too many adults in our society still view schooling at any level as for those who cannot manage their own affairs. Furthermore, it takes four or five part-time students to generate one full-time equivalency. Finally, colleges and universities will be competing with industry, the military, and even high schools for the adult education market.

Thus, if there are real limits to the amount of financial help which colleges and universities can expect from the adult population and if colleges and universities continue to look at state and federal governments for indirect aid through students or direct institutional subsidies, then we, as a society, are going to take seriously the distinction between postsecondary schooling and postsecondary

education or learning. This type of education may require little or no direct contact with colleges or faculty. If we have reached a plateau in the public's willingness to pay more taxes, then our task becomes one of developing a flexible, efficient, low-cost, and accountable system of post-secondary educational experiences, programs, and institutions. There is more than a small amount of conflict and tension among the characteristics of this ideal system.

Reconciling accountability and flexibility is, of course, not very easy. And the need for a low-cost system lies in the face of the demands of faculty unionism. The salaries of professional and non-professional employees, as you well know, account for over 85% of the budget of many institutions. But progress toward the learning society demands nothing less. Because of the magnitude of these questions and because I believe some systematic thought on these issues is needed, I have introduced Senate Bill 551 in the Pennsylvania Senate.

Senate Bill 551 calls for a citizens commission to study the governance, structure, and financing of postsecondary education for one year before making recommendations to the General Assembly, the governor, and the public. The commission would be composed of ten legislators, five senators appointed by the president pro tem, five House members appointed by the Speaker of the House, and eleven private citizens. I included private citizens because I do not think we should have commission representatives of the various institutions or interest groups. It should be primarily a citizens commission. It is my sincere hope and intention that the commission deal with such fundamental questions as the following:

1. Is the four-year approach to under-graduate education pricing itself out of existence? Since there is a high degree of duplication between the senior year of high school and the freshman year of college, maybe we need to alter the nature of these transitional years.

2. Can Pennsylvania tolerate its patchwork and chaotic classification of postsecondary educational institutions? Among the 191, we have classifications such as: state-owned, which are our fourteen state colleges; state-related, which includes Penn State University, the University of Pittsburgh, Temple University, and Lincoln University; state-aided, which includes institutions such as the University of Pennsylvania here in Philadelphia, community colleges, independent colleges, and proprietary institutions. These institutions receive different amounts of money from the state based on their classification. If our current economic woes get worse, some institutions may try to "graduate" to

classifications which receive more money from the state. Without better criteria to determine how an institution graduates from one category to another, such decisions will inevitably be based more on the "political clout" than on any rational criteria.

3. Should the state emphasize direct student aid or institutional subsidy? If some institutions are to close, should it be the result of the marketplace or conscious state-level policy?

4. Are there any advantages to be gained by moving toward a more comprehensive system involving all of the classifications?

5. What additional approaches, if any, should the state adopt to encourage non-institutional postsecondary education and learning?

6. Are some citizens of the commonwealth being slighted with regard to educational opportunity because of geographic locations, a problem which is not unique to Pennsylvania?

7. Should the state define with greater precision the purposes, policies, and programs it supports in the private sector? Should the state make greater use of contracts with private colleges for specific services, rather than adding subsidies to their general fund?

These are some of the questions which we, in Pennsylvania, are raising. These are problems which every state must face if education, formal and informal, is to play a great role in the lives of our citizens. I hope our open discussion can give some perspectives to this problem and look to state coordinating officers to take a bold leadership role in finding the answers.

Thank you.

PROBLEMS AND ISSUES RELATED TO LEGISLATIVE PROCESS: THE STATE DIMENSION

Bill, ladies and gentlemen, I am delighted to be here, but since it's election year in Virginia, Bill, I don't feel it's very nice to say Jeanette and I are not politicians. We're Democrats, but I trust you will be tolerant of us in the legislative process, for politicians necessarily interact in partisan ways when it comes to various issues.

I would like to discuss with you some techniques that may help you in your approach to getting us to do what you think we should do which you may sometimes feel we're not smart enough to do. Obviously, we have considerable diversity among our states in the educational processes at all levels; similarly, in the legislative processes at all levels, we have such diversity. We have never been able to convince "Big Daddy" in Washington that this is true, but I think we must try. When we relate to the federal government from the state viewpoint on the premise that "Big Daddy" presumes he alone knows best what should be done to us (and, from his viewpoint, for us), it appears that all wisdom is centered in Washington. It seems that those of us in the provinces must cohabitate with the peasants and do what he, "Big Daddy," thinks is right. This is a problem facing us in the states and I don't care how big the state is or how small the state is, we must recognize "Big Daddy" and try to educate him. That's the most important thing you and I can do . . . educate "Big Daddy!"

But we're not here to talk about "Big Daddy" because he alone knows best and he has a ten-day vacation. He gets more vacations than the school children. Because the states are so diverse and because the systems are so different, I shall try to address myself to what I hope are fundamentals regardless of the size of state. I represent a relatively small state with a short legislative session operating on the calendar day principle Constitutionally, not the legislative day principle. You can debate this item from this viewpoint, and I submit you would welcome the calendar day system because we go to the capitol and get out as soon as possible; whereas, in many states, they stay on and on and on. We submit the calendar principle allowed us to get just as much accomplished in sixty days as some of the great states do in nine months.

In the state legislative process, staffing of legislative committees varies from high sophistication in California to practically none in Virginia. We were in California looking into the problem of what kind of staffing we should have and were advised by the California assemblymen and senators to be careful not to staff too much; often staff will run the system. Of course, when there is no staffing at all, you may not be able to do much unless you have such support. We are ideal for you state officials because we sit there with no people on our side. It makes a very interesting game.

So, how do you get through, whether you have staffing or not, to a legislator? Of course, I'm a great believer in the principle that you should get to the member before he goes to the capitol. Now, you don't necessarily have to wine and dine him and provide him with ladies of the night, but everybody ought to be educated on what the problem is before the session. You get enough at the session. If you have a money problem and you are in a state that has an executive budget (I presume that most states do), this is the time of the year to start thinking about the money that you're going to get next January. Don't wait until January. The budgetary systems in most of the states are gearing up now and the budget will be locked in generally by December. If you are in a state having a governor of one party and a legislature of another party, such as my state, and it's an executive budget and the governor has the item veto power, you should be aware of the consequences. It doesn't make any difference what the part is in the assembly if the governor has the item budget veto power--that's an enormous power! He doesn't have to say it. He just intimates what he intends to do if you don't do A, B, and C.

If you're in a state like North Carolina, it's heaven for the legislature. In that state, the governor can't veto anything. In North Carolina when in session, the legislature is all powerful and the governor might as well go to Hawaii and live it up. He has no power whatsoever if he is of one party and the legislature is of another party. So, they "have it made" there from the legislative viewpoint. The budget requires you to get your information submitted now.

Now, to another issue. You and I hear, and I believe, your cause is really hurt when it is said: "We all know what the pill is doing. We all know what abortion is doing. We all know ultimately there will be a down-turn in people desiring education at all levels." These statements have done such a good job that legislatures throughout America are giving less money because they keep hearing of the slowdown in number. However, it works in reverse in my state

and generally throughout the Southland. In spite of such claims in the North and the West, we in the South are trying to catch up for the first time in history. We are trying to give minorities the opportunities to attend the institutions of higher learning and we encourage a greater participation by all citizens to get more education. While all these publications are saying everthing's turning down, statistically and factually in my state and in many Southern states there is an increase in the number of people desiring higher education. There is such an increase in numbers that the state supported institutions cannot take all of them. Yet, the publicity has convinced some legislatures of a downturn in student demand. Jeanette, I'm sorry you're closing down all these schools in Pennsylvania. Let's pack or box them up and send them down the road like we sent those trailers up here when you had your floods! We can handle them! I hope you permit me, as a Southerner, to make that point because I think it is overlooked.

In many states many of you in educational positions participate in partisan politics. We consider this a "No-No" in our state. We honestly believe professionals in the field of education should be non-partisan. We don't elect any people publicly in Virginia in the fields of education, whether it be the local school board, the state board, the superintendent of public instruction, or the various college and university boards. Membership in these, in truth and in fact, is non-partisan. So, my viewpoint is you should not get into partisan politics; maintain your professional standing.

Some states, as you know, have gone to an all-powerful governing board; certainly Florida provides an example of it. You may be in a state such as mine that has such diversity in its system of colleges and universities. Virginia and Massachusetts have the largest number of citizens on policy boards in universities. We call them visitors because a gentleman by the name of Mr. Thomas Jefferson called them visitors, but most states call them trustees and regents. With such a large number of citizens on the public college and university boards, we concluded it would be impossible for us to have a strong centralized governing body. That's politics.

We have diversity within the types of colleges and universities. There is a growing movement in the nation--and I believe it is wrong--to reduce higher education to a statistical norm, be it money or the level of attainment of the individual. I think American education, public and private, has been successful because of diversity and because of innovative concepts and ideas fostered by approaches to the diverse problems. I submit that it is wrong to create one big super state university. Yet, there is a

movement to accomplish this and I believe it is substituting a giant bureaucracy for educational quality. We need broad diversity instead of huge size. And I'm obviously offending some people who believe in the strong governing principle.

When the legislature is in session, you should read every cotton pickin' bill introduced which might, in any way, pertain to your field of endeavor. At times, I have been surprised that people in education in my state are not prepared before committees. As a committee chairman, I politely request--indeed, I demand--that department people be present at committee meetings, be brief, and be available to respond to our questions. I have discovered instances in which they didn't know a bill had even been introduced and one which directly affected them. Now, this is of no great consequence in states where you go on and on, but in a state on a calendar principle, it is essential that the professional educator be on his toes. He must be available at all times while we are in session. This is necessary if we are to accomplish anything at all.

I also suggest that you would be well advised to pick out the strong people on the committee. Not everybody in the legislative process happens to be as brilliant as Jeanette and I in the field of education!!! On our committees, not everyone obviously is as accomplished as we are!!! There are committee members who couldn't give a hoot about higher education, yet may be interested in elementary-secondary education, or some specialized field. You should know the individual legislative committee members in your state and what their kicks are. Get to them. You ought to get the chairperson's blessing, for the chairman may not want him to be too sophisticated on some things. We do not have a situation similar to my party in Washington which has participatory democracy and everybody now has to pick a chairman and have caucuses to decide on big policies. We are a seniority state and I like it. I waited many years to be senior and as long as I am there, I'm going to stay there. The seniority principle works politely and politically because you know that one of these days, if somebody ahead of you gets defeated or dies, you're going to be it. So you're going to be nice to that person. Of course, we find we're in the minority again on that principle, but it has great potential. Get on the education committee the people who know a particular field. The members of the education committee should also be on the appropriations, finance, or ways and means committee because money makes the horses trot. Many people get so gung ho about a legislative subject they overlook how to get the oil or grease needed to make it work, . . . and that's money! The smart legislator gets on the committee that handles money where he can then carries out the things in which he believes. So find out the persons

on the money committees who have been sympathetic to education and get to them.

Hopefully, do not let your college and university presidents be registered as full-time lobbyists in your state capital for the entire session. They do it, and this is one of the criticisms obviously of the coordinating governance system. It's a fact of political life that there are certain dominating colleges and universities in your state that, for better or worse, happen to have a good football team or a large alumni or something of that nature and are most persuasive. That's a political fact of life; you must recognize it in your professional capacity. You must recognize the give and take in getting things accomplished by getting a little here and taking a little there.

Do not make the mistake of doing something drastic in the field of higher education while we are in session. Our Council of Higher Education made the mistake of doing that while we were in session; they changed all the extension systems from the University of Virginia to a regional basis. They did it while we were in session and we reacted with alarm. If they had been smart, they would have waited until we went home, implemented the idea, and then let it all simmer down and be over before we got back in session the next year. That's politics. Pick your timing. I've always considered timing as vital in politics as it is in sex and as long as you operate on that principle, you'll never get in trouble either way.

Thank you.

EIGHTH MODULE

"PROBLEMS AND ISSUES RELATED TO
LEGISLATIVE PROCESS: THE FEDERAL DIMENSION"

by

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U.S. House of Representatives

PROBLEMS AND ISSUES RELATED TO LEGISLATIVE PROCESS: THE FEDERAL DIMENSION

After an introduction like that, and I don't know your credibility factor, but if these folks believe 51% of what you just said, I would be better off to say "thanks" and just sit down. In the words of Senator Hunter Andrews, I represent "Big Daddy" here today while the elected representatives are on a ten-day vacation. Some of them may be on vacation, but I've seen the schedules of a few and it's the kind of vacation I would never want to enjoy myself. In the past few years, I guess I'm seen among the staff in the House of Representatives as one of the strongest supporters of the state role. In the last year or two, I have made a priority of attending this kind of meeting in order to interact with state leaders. However, to protect my cover as a contributing member of a federal organization, I hope you correct my title in your program which reads, "Minority State Director." I'm not quite there yet; I'm still working primarily from a federal perspective.

During the early years on the Hill, I made the mistake of assuming people know what a minority staff director was. I would often meet with groups of college presidents who, at the end of the meeting, might say, "Well, I enjoyed that, but I find it just fascinating the minority group would select you to be their staff director."

I want to give you a perspective of the Congressional organization with which I hope you will become increasingly familiar and will feel as though you have the right and responsibility to exercise the opportunity to participate in it. One of your pre-seminar papers was a three or four-page paper called "Congress Needs to Hear From You." In it, I explained the difference between the authorizing committees and the appropriations committees and provided staff phone numbers, addresses, areas of jurisdictions and related information. As Ken Fischer and others know, I never ask for anything on more than two pages. Sometimes I cheat by printing on the front and on the back, but the people I work with seldom read these thick studies and reports and summaries that all of you generate. If we can't give it to them in one page, we might as well forget it. When we staff persons meet with educators, sometimes we try to be accepted by writing longer papers because that's your game. But

where I come from, this is about as long as you'd ever want. And I'm sure you've already read it. That's one of the joys of speaking to literate audiences! So I'm not going to go over the handout except to touch on the areas you wish.

Let's look at the Congress. Some of you might not like 9th grade civics, but I've learned not to make assumption s with any group. Now, just so you can peg where I'm paid, one of the twenty authorizing committees in the House of Representatives is the Committee on Education and Labor. The Chairman is Carl Perkins of Kentucky; the ranking member is Al Quie of Minnesota. Under that committee comes eight subcommittees. Some of the issues with which they deal are labor-management relations, manpower, EEOC, minimum wage laws, arts and humanities, pre-school, handicapped, vocational rehabilitation, and on and on--in addition to the general education programs at all levels. So whenever you see a Member, whether he be a John Brademas, an Al Quie, or whomever, speaking to you, you probably tend to get the feeling as though they're giving a great deal of time and thought to postsecondary education. Well, on this one committee, each member sits on at least three subcommittees and Al Quie, my boss, sits ex officio on all eight. One of these subcommittees (the Subcommittee on Postsecondary Education) is chaired by Representative Jim O'Hara of Michigan. But he also sits on a couple more of our subcommittees and on the new Budget Committee. So he has his hands full with things other than postesecondary education. We also have two other subcommittees on education. The one is chaired by John Brademas of Indiana that deals with the handicapped, vocational-rehabilitation, arts and humanities, drug abuse, consumer education, child development, NIE, and other issues. Another subcommittee handles elementary, secondary, and vocational education. Carl Perkins, who used to be chairman of that subcommittee before he became chairman of the full committee, kept it for himself. So, he is chairman of one subcommittee as well as the full committee.

The beginnings of hearings and legislation that are going on right now in this one committee will eventually end up, we're predicting, in an omnibus education act of 1976. We have one track going with the Brademas subcommittee on NIE. We have another track going with the Perkins subcommittee on the Vocational Act and another track with the O'Hara subcommittee responsible for the Higher Education Act.

To stay with the authorizing side of things, we'll flip over to the Senate--the Labor and Public Welfare Committee. Frankly, I'm not sure how many subcommittees they have. It's more than four and one of them is chaired by Senator Pell of Rhode Island. Senator Pell chairs the Education Subcommittee

which handles all of the education programs. It's very important that you understand the beginnings now of these pieces of legislation. In the House, three different subcommittees handle the same issues as are handled by the one Senate subcommittee. The House subcommittee leaders don't always agree and they have their own ideas. Carl Perkins is very close to the vocational education community, for example. So when there is talk about state plans and state boards, he's going to be seeing that issue primarily through his long experience with the elementary, secondary, and vocational education sectors. At the same time, Jim O'Hara is working on the Higher Education Act under which comes 1202 Commission, so he will be looking at that. With two separate committees, separate rooms, separate schedules, there is no coordinated planning at the subcommittee level and that's where most of the action is. This creates a potential problem of rationalizing state planning that you should keep in mind.

I've been reading several studies on 1202 Commissions and how Congress intended this or that. "Congress" doesn't intend anything. One or two people at the subcommittee level usually "intend" something and on a provision as small as the 1202 Commission, it really doesn't get modified through the remainder of the legislative process, as I will explain in a minute. Thus, we have no centralized congressional planning effort. The House goes its way; the Senate goes its way; and only when we have to meet in conference committees do we get together. I see Senator Pell's staff more often on panels at meetings like this--twice as much in terms of hours spent with them than I do in my job on the Hill.

Apart from this total process of authorizing legislation which, with some exceptions of backdoor spending, does not provide a nickel to higher education is the appropriations process. A separate committee, the Appropriations Committee, handles all spending bills. Each appropriations committee, House and Senate, has thirteen subcommittees and one of the thirteen is called HEW/Labor and Related Agencies. Mr. Flood of Pennsylvania chairs this subcommittee in the House. Senator Magnuson of Washington chairs the one in the Senate. HEW spends $301 million a day every day of the year; $109 billion was HEW's budget last year. There are three hundred programs in HEW and this one committee has to listen and comprehend all of those programs and make decisions about relative priorities. No member of this committee, not one member, sits on an authorizing committee under our rules. So, when you feel like you've reached a Jim O'Hara or reached an Al Quie and you feel that your story has been told, your job is only one-half completed. When we have relative priorities in the Higher Education Act, for

example, we (meaning the authorizing committees) end up being lobbyists with the appropriations committee. John Dellenback, when he was ranking member of the O'Hara subcommittee, went to Mr. Flood's committee and sat down as a witness, just as the American Council on Education, the Land-Grant Association, or the Commissioner of Education. And he tried to convince them that money for 1202 and SSIG were priorities they ought to recognize.

While the House is going its way on authorization or appropriations bills, the Senate is going its own way. All the differences get reconciled is when the House passes its version of the Higher Education Act, for example, and the Senate passes a different version of the Higher Education Act. In 1972, there were 300 major substantive differences between the two bills. The Speaker appointed conferees for the House and the President pro tem of the Senate appointed Senate conferees. Who are the conferees? The conferees are almost entirely members of the subcommittee from which the legislation first started before it moved its way up the ladder. If we get in another major conference, as we will in 1976, we'll have members of the O'Hara subcommittee, a couple members of the Brademas subcommittee because we expect NIE to be part of the total package, and members of Perkins' subcommittee because vocational education will also be part of the package. The Senate conferees will probably be Senator Pell's entire subcommittee. In 1972, on similar legislation, it took us nine weeks to hammer out the 300 differences and, in the final analysis, that's where "congressional intent" is developed.

With respect to the differences on state commissions in 1972, the chairman of the conference (it happened to be Carl Perkins this time--the chairmanship goes back and forth, it's either Perkins or Pell) appointed Al Quie to meet with staff to resolve all these differences on state commissions. We spent about forty-five minutes and it was all resolved . . . Title X-A and Title X-B, 1202, 1203, and so forth. Now to the extent that you can say "Congress" has decided something, it was really at that meeting in Al Quie's office for forty-five minutes or so. Of course, there was a lot of thought behind that meeting. Edith Green had some strong views on her state planning; Harrison Williams had strong views on his community colleges; and Al Quie had strong views on his occupational education provision. But the major issues at the time were really basic opportunity grants, institutional aid, school busing, and others.

I want you to feel comfortable with this process so when you see the names of people, you will know where they enter in. Every person in this room has two senators in Wasington and one representative. Some of you want to

interact, and many of you do interact, with the chairman or a ranking member of a subcommittee. If you're not from Michigan, you still, because of your position, want to have an entree' through your own representative who then sits down with O'Hara on the floor of the House and says, "Hey, what are you guys doing about whatever? I've heard from people in my state and the way I'm getting it, you ought to look at this." All these little things register and they do have an impact. Use your role as constituents. Each member of the House has about eighteen staff people now--both in the district and in Washington, D. C.--and they work their heads off to respond to constituent needs. I know there are over a hundred letters a day in Mr. Quie's office that go out, and most congressmen don't like to have a turnaround time of more than three or four days unless it's something that requires new data or information. So, at least use that opportunity you have as constituents, because we do not hear from state level officials nearly as much as we do from institutional representatives.

We do get resolutions passed by SHEEO or passed by the Education Commission of the States, but these are only resolutions. The position base for the resolution on paper has not been read and unless someone is out there picking up the ball, becoming an advocate, talking about it, it just doesn't cut the mustard. Just a few letters or a few phone calls would do a great deal. Someone asked me to quantify the potential impact by state leadership on federal law in higher education, and I said that on a scale of one to ten, it would be about two or three. So, there is tremendous opportunity for you.

Now, I recognize you are just like everyone else . . . you have only so many hours in a day, you're up to your ears in problems at home, and most days you could care less about communicating something to a subcommittee in the Congress that may eighteen months from then affect you. But I urge you to consider the fact that it is important to get engaged at that level because other individuals are getting engaged. Who are they? Primarily, institutionally-based national associations. We get the views of college presidents. I'm just really picking a number out of the air here, but upwards of 80% of the input that we get would be either from college presidents through their associations or financial aid directors. We do not hear from trustees; we do not hear from faculty. We are beginning to hear from students; we seldom hear from state level higher education agencies; we hardly ever hear from state legislators. Once in a while we hear from the governor's conference, but very seldom; and we hope to begin to hear from the National Council on State Legislatures. However, we primarily hear from the so-called One Dupont Circle associations.

With that as background, I was asked to think a little bit about the strategy of a state agency and I did outline some thoughts on the handout. They're obviously from a person who has never worked at a state level and I may be far off-base, but what I want to get out of the session is a "feel" for how off-base I might be, because I have the bad habit of sharing with members of Congress the perceptions that I carry around. That could affect (I'm not saying it would!) how we come out on the whole question of state agencies. Personally, just to shorten five minutes of talk, I agree 98% with what Senator Reibman said this morning and I believe that she reflects at the state level what is going on in the minds of members of Congress with whom I interact.

Let me be even more specific. In 1972, education was still a topic of some interest. There was some excitement. There was some glamour in being involved in higher education legislation. Our attendance at hearings was pretty good. We had dozens of informal meetings every week and several of the informal meetings were with education leaders. This year it's a different story. We have seventeen members of this subcommittee. We've had some sixty days of hearings, primarily on student assistance; our average attendance is two and one-half. I can't get a member of Congress right now, with unemployment and energy and foreign affairs and the economy on their minds, to sit down very long to think about eligibility questions, the formula for basic grants, or the details of the guaranteed student loan program. For one thing, each issue is so complicated, but primarily it's because of the competition of other issues.

Most authorizing legislation goes for three or four years, then it expires. The Higher Education Act expires June 30th, about a month from now, but there is an automatic extender which has already kicked into place, so it really doesn't expire until June 30, 1976. Consequently, there is not yet a great deal of pressure to act and perhaps that's part of the problem. Another part of the problem is that, in this one committee, we have 114 programs that expire this Congress. And you know that Congress doesn't let many things die! Congress will likely re-authorize them all. Every time a program comes up for re-authorization there are forty members of Congress here, thirteen there, etc. Everyone's ideas can get thrown in the hopper. One problem that I see coming "down the pike" is that the lack of interest and the lack of stimulation from people such as yourselves might result in individual members throwing ideas in the hopper and the rest of the members not being interested enough to really debate, refine, and sharpen it. If it's a $100 million idea, you'll try to reduce it's cost. If it's a $3 million idea, legislative courtesy tends to let a member have his thing. This phenomenon operates in the Senate such that no

member of a Senate committee likes to go to the floor with a major bill unless he has one thing in it he can say is his. It almost gets to the point of staff going around to all the offices saying, "What do you want to do for higher education?" and then trying to write a bill that accommodates each member of the committee.

I don't want to give you an impression of the process that makes you more cynical than you perhaps already are. However, I do want to give you a realistic feeling of the process so that you know how to relate to it. For all of its shortcomings, I think the history of the federal role in higher education is a positive one. If I were a member of Congress who had served for the last fifteen years, I believe I would feel fairly good about the federal role in higher education, but it is not the result of a unified plan. It is an ad hoc process of adding things here and there by different people and I think personally that we have come to the time where we may have reached a saturation point. We may have too many federal programs (over 380 affect post-secondary education). There is too much duplication, contradictions, red tape, criteria, fiscal operations reports, and audits. On top of all that are the regulatory requirements you must face: occupational safety and health, affirmative action, the Buckley amendment on privacy. I'm beginning to get feedback for the first time from the generally liberal education community that they've had enough of big government. In the past, educators would say, "We don't care how you give it to us, just give it to us. We'll adjust." In the last year or so, we've begun to hear, "We're not so sure anymore whether we want that kind of help."

What I'd like to do now is see how many agree with the statements on my handout. Some of them, I am sure, are not as clear to you in terms of what I might mean, but use your own meaning if you can do so. Let's see the four or five areas where there tends to be considerable disagreement and then get some feedback from you on why there is and let me react to it. On each one of these, any one of us could talk for fifteen minutes and still not get far with it.

Editor Note:
Participants then interacted with Mr. Andringa on each of the items in the list which follows.

PERSONAL PERSPECTIVES ON FEDERAL/STATE ROLES
IN POSTSECONDARY EDUCATION

ROBERT C. ANDRINGA
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COMMITTEE ON EDUCATION AND LABOR
U. S. HOUSE OF REPRESENTATIVES

A. Observations and Predictions

1. Higher education has lost its former high priority status in public's mind and in legislatures. Few would increase taxes (or deficits) to increase the total capacity of the collegiate sector.

2. Collegiate institutions becoming defensive; for many, mere survival is major preoccupation; lack governance structure that is flexible enough for the times.

3. Competition for campus-based students in 1980's will create new public issues which institutions cannot resolve without an external referee.

4. In foreseeable future, increasing institutional costs will have to be shared in larger proportions by students.

5. More and more traditional students and "new clienteles" will need to pursue education while they work.

6. Individual rights will often override what are now seen as institutional prerogatives.

B. What to Expect from the Federal Government

1. Total dollar support keeping up with inflation at best.

2. Few new programs; strong emphasis on student assistance as main strategy.

3. Continued recognition in student assistance programs of both degree and non-degree granting institutions (total now about 5700 eligible institutions of PSE).

4. Continued demands on institutions through exercise of regulatory powers; more red tape and criteria to meet as funds become scarce, abuses of federal programs come to light and issues of privacy, discrimination, consumerism, etc. take hold.

C. What Role for the States?

1. No way but up. Who seriously doubts an increasing state role? Motivation will come out of problems within the state, but federal legislation will encourage the trend.

2. Neither federal government nor an individual institution will be able to take the lead in maintaining a strong postsecondary system in light of the economy ... enrollment declines ... collective bargaining ... public reaction to unemployed college graduates ... competition for tax support in areas of health, unemployment programs, aging, handicapped education, etc.

3. Most states should increase support to the independent sector to:

   - Prevent over-building public sector
   - Guarantee health competition and diversity of opportunities
   - Provide reason for limiting government intrusion into all institutions

4. Strong, fair dealing state agency is a necessary buffer between over zealous (and short-term) political pressures and defensive isolationism on the part of academic institutions.

D. Personal Suggestions on State Agency Strategy

1. Take on the role of servant; become bipartisan; influence through informal networks; seek to represent perspective of what is current situation and what public policy should be.

2. Emphasize leadership development for both full-time personnel and non-agency "key persons." Encourage interestate exchanges; doctoral study research and internships, share ideas with other states. Not the time for "one man shows" in state agencies.

3. Identify and involve "laymen"--not in token manner. They have good perspective in these times; enjoy unique credibility with the broader community; will keep education out of strictly interest-group politics.

4. Become known as individuals thinking about "education and training" for all adults--not as an agency responsible for "educational institutions." Involve libraries, museums, civic groups, business and government training programs, newspapers, TV and other learning resources.

5. If you err on enrollment projections, err on the pessimistic side. Prepare state leaders and institutions for possible closings, mergers, state assumption of independent schools, reductions in number of programs, etc. Why? Politics and public emotions will play greater role in these decisions than quantitative analysis!

6. Designate one staff person to be accountable for monitoring federal policy process. He should alert others when need for letter, phone call, follow-up, etc.

7. Act not only as a reconciler of immediate crises, but help create a new rationale for and descritpion of "appropriate institutional autonomy."

8. Begin working within the state for coordination of federal funds received through revenue-sharing program, CETA, Vocational Education Act--that's where the big dollars will be.

9. Relax about the current thrust of 1202 Commissions. They were not expected to handle all the comprehensive planning of postsecondary education. But they were expected to do relevant planning that included all segments of PSE.

May 23, 1975

NINTH MODULE

"NEW ASSUMPTIONS FOR STATE LEVEL
LEADERSHIP IN THE FUTURE"

by

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NEW ASSUMPTIONS FOR STATE-LEVEL LEADERSHIP IN THE FUTURE

For most of their history, state supported universities were autonomous. In their external political relations, for example, they dealt directly with the legislature. Presidents urged adoption of requests for funds to sympathetic legislators. The resulting appropriations determined policy, the location and size of a building, the inauguration or expansion of academic programs, and the competitive relationship of each institution both within and without the state. The affairs of state government were relatively few. Legislatures met infrequently, budgets were small, and decisions, although significant, were relatively easy to make. Alternatives were clear and choices were few.

In the decade following World War II, the web became more complex. The state assured a larger role in our daily lives as the span of its concerns widened. Increasingly, government regulated, subsidized, controlled, policed and concerned itself with the welfare of its citizens. It assumed responsibility for the aged, the indigent, the physically and mentally ill. Populations grew exponentially. The clamor for free or low cost quality education was extended downward to kindergarten and upward through graduate school. Our society increasingly depended upon a technological base which demanded a high level of education and extensive research capabilities. Universities expanded and multiplied. Teacher colleges became universities. Graduate program proliferated.

As state budgets became larger in response to new and more substantial demands, the old ways of determining the allocation of money were rendered outmoded and inadequate. State legislatures sought improved ways of conceptualizing and addressing the increasingly controversial questions with which they were confronted. They sought to deal broadly with the questions of allocation of additional support among categories such as mental health, roads, and education. Within the latter category, the proper balance between funding of kindergarten, education for the handicapped, and graduate and research programs became the focus of decisions. No longer could the legislature deal with the welter of conflicting data and frequently inconsistent claims presented by a larger number of individual and ambitious universities. The division of money between

universities became buried in larger questions. Increasingly, political rather than educational considerations governed hasty and often uninformed decisions with respect to the division of monies among the plethora of university petitioners. Planning to accommodate the future was uncoordinated, parochial, or non-existent.

The response of the states was to lodge responsibility for the planning and coordination of universities in a single agency. The legislature was thereby enabled to deal with the broader conceptual questions as to the division of resources between public education and higher education and allocate the proper percentage of the state revenue to each of these functions according to its judgment. Boards were given authority to recommend the establishment of new institutions, the expansion of existing ones, and to plan for the distribution of students and programs among the institutions as well as the location and size of facilities to house them. The outcome of the struggle between those who feared encroachment by such boards upon traditional institutional autonomy and those who believed in the necessity for such unification resulted in state boards which vary in terms of the duties and responsibilities allocated to them. Such boards range from coordinating bodies possessing recommending authority only to a single governing board controlling a consolidated budget for all publicly supported universities. Since mid 1950, however, the trend has been clear and unmistakable. States without such central authorities established them--those with central boards strengthened their powers. At the present time, forty-seven states have central boards as contrasted with seventeen in 1954.

On the whole, such boards have performed well under difficult circumstances. Much was expected and much was demanded of them. For a number of reasons, many of them failed to live up to those expectations. That they failed to meet these high expectations and the extraordinary demands does not indict them. The comment that they, on the whole, performed satisfactory in the light of reasonable expectations and the political situation in which found themselves remains, in my opinion, a valid judgment.

And what of the future?

I foresee a number of factors in the next ten years which will present problems requiring consummate wisdom and judgment. The handling of these issues will determine whether such boards continue with expanded responsibilities or whether fragmentation of our higher education structure occurs. Those major forces impacting operations can be grouped under two large subject matter areas although they overlap and affect each other. The first of these is the

straitened fiscal outlook. The second is the prospective rapid decrease in the size of the traditional college bound student pool. Time will permit me to deal with these only in rough outline. I raise them in order that you may consider and refine them.

Fiscal Situation

From 1950 to the mid 1960s, the real income of universities increased rapidly and dramatically. You are familiar with the figures in the Carnegie Commission study which have indicated that expenditures of universities grew at a rate more rapid than the growth of the gross national product. The unit cost of instruction increased. Large annual increments of manpower and funds were dedicated to research. Teaching loads were lowered. The average professor became a manager with large sums of money at his disposal. For hard scientists, equipment increased and was refined. Accelerators blossomed. Electron microscopes became common. Beginning in the late 1960s, the story line changed. Federal and state funds flowing into education either did not grow or grew at a decreasing rate. Real dollars per faculty member and per student decreased during the early 1970s. In 1974, inflation added to the burdens and the sense of frustration which this situation created. The scenario became one of doing more or the same with less. The real income of our faculty began to decrease. The impact of this twin devil of inflation and a stable income or a decreased rate of increase of that income has had qualitative and programmatic effects. More importantly, it has had severe impact upon the expectations and morale of a generation which had been raised to believe the revolution of rising expectations was a standard part of its cultural pattern.

For a confluence of reasons, higher education is competing less and less successfully for the state and federal dollars. Priorities have been rearranged and the period of affluence for higher education has passed at least temporarily. I leave to each of you a judgment as to whether those priorities can again be reordered so that higher education receives a higher percentage of the revenues of state and federal governments. I am not optimistic for the near term.

Students

By now the curve which shows a future drop in the number of the traditional college age student is sufficiently familiar so we know the figures did not occur in a nightmare. It is based upon hard figures of individuals now

living. The facts are incontrovertible. The decline will be as steep as was the incline. We are witnessing the beginnings of extreme competition for traditional students. Many of these competitive steps impacted upon previously sacrosanct and hallowed traditions. Our grading system has eroded until the grade curve is a national scandal. We give credit by examination. We admit at the junior year of high school. We press for increased financial aid for students.

Competition for the traditional student is being followed by an attempt to expand education to other age groups. The buzz words are career readjustment, upgrading, and life-long learning. We install academic programs in prisons. We broadcast television and radio courses to shut-ins and housewives. We cooperate with newspapers to offer courses for credit.

Colleges will increasingly compete for these new students as well as for traditional students. Many seem to be attempting to outdo each other in designing courses to appeal to newly discovered groups. Ignored is the long history of continuing education, the failure of our GENESYS and similar programs, the fact that education should be demanding work. Our attempts to increase access should continue. Claims that major new sources of students can replace the losses visualized through a decrease in the size of the traditional group are unrealistic in my opinion. Caution must be exercised to avoid further deterioration of standards. Opportunity should not be confused with guaranteed success.

On one hand, universities excuse students from traditional work and on the other, they seek to augment an artificial demand for college work through licensing and certification requirements. At the present time, we hear only a faint stirring in this direction. In the future, we will see a demand for increased initial educational requirements for licenses and certificates and continuing education requirements for their renewal.

The decrease in the number of students likely to occur in the late 1970s and 1980s and the confusion arising from the competition for students will raise new and grave questions. For example, increased funding has been geared in part to increases in the number of students. Economies of scale enabled universities to utilize only a portion of the additional money appropriated to support new students and to utilize the rest for experimentation, innovation and advanced research. The decrease in the number of students will aggravate the economic situation caused by the probability that higher education's share of the state and federal dollars will remain stable or even decrease. The

past annual infusion of new funds which enabled improvement in the quality and inauguration of new programs cannot be taken for granted in the future. The advent of unions will render even more rigid flexibility which we already regard as limited. The potential for a change in our collegial style of governance is on the horizon. The unwillingness of a governing body to interfere in the internal operation of universities will render it difficult for central boards to moderate the new competition for students.

In these circumstances, central governing bodies will become increasingly vulnerable and seemingly ineffective. They were established to make the educational decisions previously made by the legislature and to plan for orderly growth to assure wise allocation and use of resources. It was their ability to provide additional funds which rendered their restrictive actions acceptable to universities accustomed to autonomy. It was their judicious use of resources which rendered them acceptable to the legislature. Wise management of resources with shrinking budgets will be more difficult although more imperative. Wise management may call for decisions not palatable to individual institutions nor to their local constituencies. Legislators, since they are politicians and since their power derives from local constituencies, can easily differ as to the definition of the wise and judicious distribution of limited funds. The legislature may well demand and expect adjustment in programs and adjustment in personnel policies which will be repugnant to the universities.

As has been the case in the past, boards will be tagged by universities as the supporters and originators of legislative actions which they must implement. Therefore, from the universities' standpoint, boards may well appear ineffective advocates and from the legislative standpoint, ineffective managers. Thus, central boards will have an ever more difficult task to preserve their autonomy and to protect higher education while responding to the education, economic and political necessities of the day. Their success in the past augurs well for their ability to adjust to the abrasiveness of the future. It is important to the welfare of higher education that they do so and, in that adjustment, maintain the confidence of both the universities and the legislature.

POST-WORKSHOP ANALYSIS

"TOOLS, TECHNIQUES, AND STRATEGIES FOR STAFF RESPONSES TO PROBLEMS OF STATE LEVEL LEADERSHIP"

by

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POST-WORKSHOP ANALYSIS

INTRODUCTION

This workshop attempted to measure some of the new dimensions of postsecondary education and, and at the same time, equip state agency staffers with effective means to confront related daily problems. As the worth of a meal is not only in the eating but also in the following digestion, so also for this workshop. Perhaps because of the newness and generality of guidelines for state agencies per se, this post-analysis hopefully will integrate and enhance the value of the workshop presentations.

A workshop takes form in response to perceived needs for new knowledges and skills for a particular group of professionals. A theme appears, then a program structure, and finally, commitments by speakers and potential attendees. During the actual workshop, the convener adapts the format moment-by-moment to maintain intended focus and to try to provide what the participants expect. With many diverse program ingredients, and the natural proclivities of speakers to lecture on their own pet topics, it is remarkable that a program did actually "hang together" to propound "tools, techniques, and strategies." Pre-workshop publicity and the program agenda gave a "forecast" of what to expect; this post-workshop "aftcast" tells one perception of what happened. Of course, each of us attendees has his/her own recollections, notes, and fragmentary evaluations. The following then are the writer's own, bolstered by his review of the transcripts and his recall of "corridor conversations," where appropriate.

This analysis is offered firstly to illustrate how the workshop addressed its theme. Secondly, it offers a structure for each reader's own review of the presentations so that one might incorporate more easily these "tools, techniques, and strategies" in one's own "response to problems of state-level leadership."

The workshop consisted of various formal presentations followed by ample discussion from the floor, of small discussion groups, of consultations with resource persons and, of course, of continuous corridor conversations. Attempting to determine afterwards the ensuing focii of these many inputs is fraught with the uncertainty of there actually being any such focii! Workshop value is, of course, not measurable solely in terms of focii, but is such are

discernable, the ensuing structuring of information is indeed helpful. This analysis uses the formal presentations as principal input, but also does not shun the informal inputs. Each analyst, therefore, might derive a different structure, but hopefully the messages would be similar.

The content and results of this workshop analysis appear as two worksheets with their explanations. For elaboration of the entries--the observations of the participants--the interested reader should consult the full transcripts of the separate presentations which follow in these proceedings. Program content was one workshop objective; the other was "putting it all together." This latter was the function of the State Fair, the small group sessions, and "corridor talk." This post-workshop analysis summarizes activities and outcomes under the topics (a) workshop analysis via worksheets, (b) elaboration of data/analyses actions and (c) summary of a work group discussion.

PART I

WORKSHOP ANALYSIS VIA WORKSHEETS

Strategies, techniques, and tools often form a continuum from the general to the specific, from the long range to the immediate. Also, the introduction of a tool can have strategic motives, and the role and maturity of the state agency may influence terminology and use. So also specific problems may be addressed by similar or contrasting strategies, techniques, and tools.

Moreover, because the state-level leadership context varies widely from state-to-state, a strategy in one can be a technique or tool in another. Therefore, the content of the program presentations requires classification not only in terms of tools, techniques, and strategies per se, but also in terms of issues and challenges with which state agencies must deal . . . and, in fact, many presenters dealt extensively with their perceptions of such contexts.

A brief summary of the state agency "situation" appears next as prelude to the clustering rationale. Then follow the two worksheets and their explanations dealing with problems and actions.

The State Agency

The state agency represents the interface between the statewide education system and the governmental and external bodies which would influence it. It must both advocate the budget and require accountability. Many presenters referred to the essential and herculean task of knowing and understanding these various constituencies and roles. For example, the faculty member is fearful that his multifaceted activities and joint products are not understood and that data solicited may also prove to be insensitive to them; and the institutions also are fearful of misunderstandings. Thus, intimate knowledge of role, scope, and dynamics of the institutions is both strategy to build toward confidence in agency activity and tool to aid specific agency operations. With the widening scope of postsecondary education, agency staffers must broaden their knowledge base to encompass the proprietary and work environment sectors as well. And, of

course, the basic (not superficial) knowledge requirement further extends to the increasing number of external bodies having a prime interest in the educational system.

On the other side of the interface, governmental involvement has assumed such a complexity and intensity as to require full knowledge of processes and intents by the agency just to keep abreast of increasing and realistic governmental initiatives, let alone pave the way for the agency's own initiatives. The complexity of the decision environment not only embraces deeper involvement of legislatures and the congress, but also the executive and judicial branches. The state agency--as a relatively new arrival on this expanding scene--clearly must acquire knowledges and develop skills heretofore unknown in handling the affairs of postsecondary education. And the sooner such acquisitions, the sooner the state agency will regain or reinforce its function of managing, and correctly interpret the public interest in postsecondary education as a service rather than an institution.

Clustering of Problems and Actions

In retrospect, the many problems besetting the state agency appeared to cluster three ways. First, grave concerns were expressed over the actual "survival" of the higher education system as it has been. The pressures of deflation appear everywhere from resources to esteem as well as markedly shifting goals and clienteles; also, the conventional components are regrouping. Thus, the state agency faces a whole host of problems as the advocate of the postsecondary education system (whatever that is). Second, the system no longer solves internal problems primarily generated internally. Problems appear from the external social context, and external groups (e.g., governments and unions), are rapidly assuming significant decision initiatives. These "external initiatives" comprise a second cluster of problems for the state agency. And third, the state agency must wrestle with its own "agency behavior." As a relative newcomer, its tenets of professionalism and decison role are still in formation. What about staff parity with education and government counterparts? What expertises are essential and what roles are expected? Participants at the workshop were chiefly from the staff ranks and displayed great concern over these matters.

Agency response to these clusters of problems may be viewed as clusters of actions. Such actions, or strategies, techniques, and tools, are viewed as a continuum along one dimension and clustered content-wise along another. The broad content clusters are social, cognitive, skill, and

personal, indicative of the broad action areas that the state agency should cover. The virtues of participatory processes, timing, and communication appeared to be necessary social actions in every state. In the realm of cognitive actions, the manifold issues and challenges of the problems clusters emphasize the necessity of a broad knowledge base and expertise with policy planning methods.

Data management and pertinent studies/analyses often assume prime importance. Skill action in these areas may underwrite state agency success or failure. And finally, professional self-confience, i.e., personal actions, must be emphasized during state agency maturation. Issues and challenges must be met by persons, who, having the requisite professional expertise, must themselves put it into practice.

In this analysis, two worksheets are developed, one for problems, the other for actions. These address the two main topics of discussion elaborated above, problems and actions, and they organize the observations made by the participants along dimensions which were not necessarily explicit during the workshop. In using both Worksheets A and B, the reader should remember that these are not analyses of related research studies, with overall hypotheses under test. They are pictorial clusterings of seemingly related experiences, attitudes and action suggestions by a group of independent presenters from as many different states and agency contexts.

Explanation of Worksheet A - Problems

In its left-hand column headed "Forecast," Worksheet A depicts the overall organization of the workshop according to modules of the program agenda. Note also the numbering of the authors for later reference. The central column headed "Aftcast" clusters topics which emerged from actual presentations and discussions at the workshop. Several different groupings were tried (without influence from the module topics) in arriving at survival, external initiatives, and agency behavior (together with illustrative sub-topics). Note that in retrospect the modules of the left-hand column cluster reasonably well the same way. However, the reader should note that the Forecast employs titles and the Aftcast employs content topics. A given module presentation often covered a number of topics and so item-by-item correspondences between the two columns should not be expected. However, by aggregations, the "Issues and Challenges" which emerged did, indeed, cover the anticipated problems.

The third column displays "Example Participant Observations" on a continuum from general to specific. Many of

WORKSHEET A – Problems

	FORECAST PROBLEMS OF STATE LEVEL LEADERSHIP	AFTCAST STATE LEVEL ISSUES AND CHALLE
A. SURVIVAL	6. Dealing with Dwindling Resources [Martorana (6)] 4. Problems Clinic – Where Do We Turn For Help? [Noel (4a), Schietinger (4b), Ivens (4c), Lichtman (4d), Fife (4e), Cramber (4f)] 1. Information Related Problems in State Planning [Hollander (1)]	Clienteles, resources and programs Instruction, research and service (I/R/S) Public, private and proprietary External questions and internal fears System metamorphoses and goals Fiscal uncertainties Internecine institutional conflicts
B. EXTERNAL INITIATIVES	7/8. Problems and Issues Related to Legislative Processes: Part I–State, Part II–Federal [Riebman (7a), Andrews (7b), Andringa (8)] 3. External Interest Group Impingements [Millard (3)]	State legislative involvements Federal influences Policy making by the courts External interest group impingements Accountability and quality seeking Consumer protection and collective bar Licensure and accreditation Institutional vs educational interests
C. AGENCY BEHAVIOR	9. New Assumptions for State Level Leadership in the Future [Mautz (9)] 5. State Agency Relationships [McCarthy (5a), Porter (5b)] 2. Problems and Issues Related to the Data Game [Huff (2)]	Forces and expectations Policyplanning initiatives Diolectical advocacy Staff expertise and parity Decision role and operational activities Political interaction and anticipation

AFTCAST	EXAMPLE PARTICIPANT OBSERVATIONS *
L ISSUES AND CHALLENGES	GENERAL ⟷ SPECIFIC
urces and programs earch and service (I/R/S) and proprietary ions and internal fears orphoses and goals nties titutional conflicts	survival crisis (6) tension resulting from dwindling money (2),(6),(9) . . . drop in public confidence (6) . . . and students (2),(9) how to maintain the triad I/R/S together (6) protect private sector (1),(7a),(8) need more optimism in PSE (3),(6),(7a) move toward learning society during retrenchment (7a) public wants education, not institutional survival (7a) cannibalistic conduct within universities (1),(5a) regional veto over new programs (6),(7a)
involvements ces by the courts st group impingements and quality seeking ection and collective bargaining accreditation educational interests	government initiatives (3) indirect and spillover effects (3) intensive role of state in education (9) melange of Federal programs (8) congressional interest sagging (8) Fed. don't hear from state legislature nor agencies (8) increasing educational qualifications for licensing (9) unions decrease system flexibility (3),(9) legislative studies of education (7a) Fed. struggle for accreditation/certification (8) Federal Trade Commission actions (3)
actations initiatives ocacy and parity nd operational activities ction and anticipation	wide demand for data and studies (2) a cause will lose against raw political power (5a) Dual role: adversary/advocate (5a),(5b) how to hold private educ. accountable (1) how to work with legislators (7b) composition of governing boards (3) privacy of information (3) misuse of data (2) competition with other social services (8) who to communicate with in institutions (5b)

* NOTE: Number is key to module/presentor. Reading of formal paper will, in most instances, reveal the idea although in a few cases, the idea came during discussion.

these are keyed to an author and approximate page number (see first column). These are not quotes and, in some cases, represent a combination of similar thoughts by more than one author. Nor are they intended to be exhaustive nor analytical, but rather supportive of the first two columns and also suggestive, such that the reader might add his own recollections or experiences.

Explanation of Worksheet B - Actions

Worksheet B organizes the content of the presentations along a continuum from Strategies through Techniques and Tools. These are the actions of interest to agency staff in facing the Issues and Challenges depicted on Worksheet A, and of course, address the first part of the workshop title. The presence of entries on this worksheet, therefore, illustrate another dimension of the correspondence between Aftcast and Forecast. These entries are keyed in the same format as for Worksheet A, and the same caveats apply. As there, the reader should add his own recollections or experiences.

A word on the method of clustering may be helpful, especially because this is the last of several trials, as it may appear unfamiliar to the reader. First of all, the "observations" of the participants often were couched as exhortations rather than as results of substantive and generalizable experiences. And many were clearly applicable in one state but not another. Furthermore, a strategy today may become a tool tomorrow, or vice-versa. This amount of variability almost defies charting, and rather suggests referring the reader solely to the full transcripts and his/her own contextual referents.

However, the search continued by pumping strategies/techniques/tools, and referencing them to the Issues and Challenges of Worksheet A. The resultant format introduced both redundancy and non-uniqueness (either general applicability or application not specified by the participant), so clustering the whole collection of examples was attempted and this approach finally yielded these Actions: Social, Cognitive, Skill, and Personal, with their subdivisions shown as the left-hand columns of Worksheet B. The reader may wish to move some items around and should feel free to do so. The two-dimensional format, even with its limitations, is still a better display for this information than are separate lists.

WORKSHEET B – Actions

	ACTIONS	EXAMPL STRATEGIES ⟷
A. SOCIAL	1. Participatory Processes and Timing	establish simbiotic relations (5a) time agency initiate legislative program before session (8),(7a) determ work with all agencies, courts and union keep arguments in logic arena (5a)
	2. Communications	be advocate of education (8) quality of interactions (2) contact work through legislative staffs (8) strengthen ties wi use various institutional administrative echelons (1)
B. COGNITIVE	1. Knowledge	educational system expertise vs agency staff (5a) faculty joint product and personal fears (2) political processes and the courts (5a) external groups (4)
	2. Policyplanning Methods (alternatives/consequences/evaluations)	sense what is "do-able" politically (7a),(8) focus on ultimate decision needs (3)
C. SKILL	1. Data Management	data not neutral (2) from (refuse to provide data (2) targ
	2. Analyses	test data for relevance to question (1) be anticipatory (3)
D. PERSONAL	1. Professional self-confidence	select management control or political control (5a,(5b),(7b) keep ahead of legislature (3),(8) strong boards have performed well (9),(7 recapture public esteem for higher education (7
	2. Professional Commitment	maintain perseverance (5a),(5b) esta

NOTE: Number is key to module/presentor. Reading of fo
reveal the idea although in a few cases, the idea came durin

EXAMPLE PARTICIPANT OBSERVATIONS *

←	TECHNIQUES	→ TOOLS
	time agency initiatives with regard for legislative reactions (7b)	recognize raw political power (5a)
		broaden policy input base (7a)
session (8),(7a)	determine power bases and employ persuasion (8)	
		seek opinions from attorney general (5b),(6)
gencies, courts and unions		furnish requested data at once (1),(2)
in logic arena (5a)	regionalize and share(6)	
	must educate Fed's (7b)	help state budget officer (5b)
	get to legislators (7b)	understand governmental bureaucracy (8)
		work through external elite groups (3)
	contact institutions only at dean's level and above (5b)	
8)	strengthen ties with state (7), and Fed's (8)	
ative echelons (1)		
vs agency staff (5a)	decisions often made on non-data bases (1)	workshop ECS handout
nd personal fears (2)	funding formulas (2)	congressional contacts data sheet (9)
courts (5a)	legislative processes (8)	NEXUS, NCHEMS and other data groups (4a-f)
politically (7a),(8)	resource allocation methods (6)	consider the "oughts" (2)
ision needs (3)	realistic fitting of programs to resources (2)	simulations (2)
	anticipate potential impacts	realistic data bases (1)
	from (new) goal develop measures then collect data (1)	NEXUS, etc. (4a-f)
		test new questions with mock data (1)
	ways to misuse data (1),(2)	
	NCHEMS software (1),(7a)	
	data organization chart (1)	
	target MIS development on required decisions (2)	
n (1)	do special and anticipatory studies (1)	simplify funding forumlas (2)
	understand power bases (5a),(7b)	determine readiness (7a)
tical control (5a,(5b),(7b)	establish staff parity actually or de facto (2)	professional diplomacy
		mediate between universities and legislature (5a),(5b),(9)
ve performed well (9),(7b)		
m for higher education (7a),(7b)		
	keep open communications (9)	have understanding spouse (7a)
	establish credibility for professional objectivity (8)	be independently wealthy (9)

presentor. Reading of formal paper will, in most instances,
ses, the idea came during discussion.

PART II

ELABORATION OF DATA/ANALYSIS ACTIONS

The saying "one fact is worth a thousand opinions" is suggestive of the profound role played by data and subsequent analyses in the daily work of the state agency, from monitoring the attainment of current goals to forecasting, policy-planning, and budgeting for new ones. Data leading to information are in a sense both the end and beginning of agency activity. They reflect agency issues and challenges and present interesting opportunities for exploitation of strategies, techniques, and tools. Half of the workshop agenda was devoted to the specifics of the "Data Game" and most of the presenters had some observation to make, whether aligned with issues and challenges or with strategies, techniques, and tools. Whereas, Worksheets A and B treat state agency problems and actions in a global fashion, this section singles out the data/analysis sector for further specific elaboration. Although it is chiefly action-oriented, it does have policy problems which pose issues and challenges. As above, this text is meant only to be "suggestively integrative" of what transpired at the workshop and not exhaustive of the topics.

Wider View

Data/analyses have conventionally pertained chiefly to general studies of enrollment, instructional and financial operational data. Current studies are focussed more on specific decision objectives and involve additional kinds of data and analyses. A wider range of socioeconomic data is necessary, encompassing also major issues and arguments, and pertinent political bases of power. The relatively new data and methods pertaining to possible futures relate closely to policy planning. And the increasing emphasis on accountability and institutional effectiveness brings to the fore newer management techniques developed in business and industry as suggestive for state agency operations internally and vis-a-vis the institutions in the system. Furthermore, an open system was generally proposed, with an emphasis on effective communications at all levels, both intra- and inter-agency.

But the open system is not without its problems. Another facet of the wider view stressed at the workshop embraced secrecy, disclosure, and availability, citing current federal and state legislation. Also cited as a potential problem was the increasing demand by government for new data, notably affirmative action (increased employment/enrollment statistics) and accountability (possibly follow-up of graduates). These new demands put a large strain on agency and institution data capabilities and agency must therefore be carefully considered. Suggested were special ad hoc studies (rather than augmenting the general ongoing data capture), streamlining and, where necessary, citing the costs involved (sometimes tantamount to saying "No").

The wider view must be accommodated, yet with expertise.

Analyses

Although data commonly feed analyses, speaking further about analyses first serves to emphasize the workshop point that the purposes for collecting data must be clearly understood in advance. This was carried a step further in the suggestion that mock data be used to check both the likely influence on the impending decision and the effectiveness of the data collection instrument. Other purposes of data were suggested to be the monitoring of progress toward goals, accountability, and planning. Such purposes set the stage for the kinds of analyses to perform.

Another role of "analyses" (inclusive of syntheses and designs) is the generation of alternative courses of action. Attention shifts from "is" to "ought" and to the underlying dynamics of the sustem under study. Useful techniques embrace simulations and system parameters such as the Induced Course Load Matrix and Faculty (or Student) Transition Matrix. Much insight can be gained relatively straightforwardly, though many useful computer software packages are available from NCHEMS* and other organizations. Increasingly, institutional researchers are employing more sophisticated mathematical models, at least to structure their own thinking. The state agency should have access to appropriate analytical talent, whether in-house or as consultants or possibly via arrangements with faculty members within its system.

Data

The workshop heard numerous specific suggestions concerning the "Data Game" and "Data Management." Some agencies

*National Center for Higher Education Management Systems

are able to operate their own computer data processing center containing tapes of operational data from member institutions; others cannot or wish not. The objective in any case is to have available the right data at the right time at the right cost. Workshop participants shared their own approaches and problems. The great value of quickly closing the loop back to the data source was stressed and of relating all data specifically to agency purposes. The great utility of using the HEGIS* taxonomy and NCHEMS procedures lay in their nationwide development and acceptance and reasonable guarantee of definitional and measurement compatibility.

Through formal and informal discussions, the workshop was reminded of quality attributes of data, ranging from misinterpretations by the supplier and his second-guessing what was sought, to unavailability, in whole or in part. Such matters are crucial to state agency posture for problem solving.

The seven presenters at the "State Fair" propounded the resources available (principally data) from their respective organizations. Under the intended program agenda, these data would be available to the problem solvers in the workshop small groups discussions.

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*Higher Education General Information Survey

PART III

SUMMARY OF A WORK GROUP DISCUSSION

Eight to ten persons representing New York, Pennsylvania Rhode Island, Indiana, North Carolina, and South Carolina met for a total of three hours of focussed discussion. The charge was to select a problem/issue and seek tentative answers to the following questions: nature of problems/ issues, desired solution/situation, obstacles to be overcome, and means for overcoming.

Everyone was congenial and contributed, but interest was more in getting acquainted with each other and the situations in the other states than in following the letter of the charge. In part, this was because the time was too short to focus on a topic of manageable size, because the age/interests of the participants was too wide, and because too much background was necessary to develop first.

The ensuing "background discussion" did unveil a number of problems, several of which were then narrowed in a "focussed discussion." These discussions certainly reflected many of the items appearing on Worksheets A and B, and provided a good illustration of a potentially profitable workshop activity could more time have been allocated to it.

Background Discussion

To get everyone's concerns out on the table, each gave a brief sketch of the situtation in his state. In this reporting, the following "problems" were mentioned. These varied by state and by age/role of the participant. Order carries no significance. For example:

a - Student input: lacking or unorganized or where student is on a governing board, he/she may not be qualified. (Also the absence of a faculty trustee.)

b - Position the agency should take toward "unsound" legislation. Perhaps re-interpret legislative intent and influence its implementation.

c - The whole question of agency staff parity with institution staff, and types of visits to campuses (depends on whether agency is SED or BOR);

d - When and how to plan, given the crisis mode of the agency and the seeming irrational behavior of the decision makers;

e - Higher Education continues as the focus; the proprietary schools are not listened to;

f - Reversion to simple budget formulas does not stem from agency leadership as it should;

g - How to keep legislature from meddling in management of the education system;

h - How much does planning really affect the budget?

i - Accountability of overhead on research grants, a forthcoming "can of worms; and

j - Eliciting consensus on what education should be.

Focused Discussion

Attempts to draw a common problem from the background discussion led first to:

a - "Agency-Legislature Relations"

This problem cut a wide swath depending on the nature of the agency (its "powers") and the (historical) strengths of the institutions, as well as the styles of all "actors" and the de facto attitudes of everyone. In short, the topic was too big for headway in the hour or so remaining. The second problem attempted was:

b - "Moving Planning Where the Action Is"

The potentially good role of planning was illustrated by New York, both the Regents' goal setting and the consensus of the public/private organization. The planning and political processes were viewed as moving in parallel. But ad hoc behavior and the potential "power" of junior agency personnel were "awesome." The complexity of both internal and external forces rendered this topic too broad as well. The final problem focus became:

c - "Legislating Faculty Workload"

This topic was an effort to narrow scope still further, but actually it circled back to the first two topics! On the one hand, the agency could seemingly forestall legislative "meddling" by its anticipation of issues and prior briefing of legislators. But on the other, data appeared to be futile because of legislative "whim"--and the best approach was suggested to be simply to strive for the most generality in legislation and then to deal directly with implementation, even if (as in one state) the twelve-hour law is interpreted such that the audit shows everyone conforming!

Time ran out without sufficiently "solving the problem." Also, the group preferred general discussion over grappling in further depth with a specific problem. The members departed reasonably pleased with their interactions.

Had the group wished to pursue problem-solving, it might have generalized its total discussion according to the following format:

Nature of Problem: Unhappiness with Agency-Legislature-Institution interrelationships.

Desired Solution: Position of qualified leadership and influence.

Obstacles: Lack of Agency staff parity, professional expertise and de juro role.

Means to Overcome: Identification of professional components of Agency activity and solid in-service training. (Also salary help.)

* * * * * * * * * * *

This concludes the Post-Workshop Analysis. After referring to the actual transcripts, readers might wish to edit the worksheets according to their own observations.

APPENDIX A

ROSTER FOR
EDUCATION COMMISSION OF THE STATES/
STATE HIGHER EDUCATION EXECUTIVE OFFICERS
Inservice Education Program

"TOOLS, TECHNIQUES, AND STRATEGIES FOR STAFF
RESPONSES TO PROBLEMS OF STATE-LEVEL LEADERSHIP

Hunter Andrews, Chairman
Education Committee
Commonwealth of Virginia
Hampton, Virginia

Robert C. Andringa
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Education & Labor Committee
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Louis W. Bender, Director
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Office of Administrative & Fiscal Management
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